



2013
STATE OF ALASKA
ADMINISTRATIVE PLAN
FOR
FEDERAL DISASTER PUBLIC ASSISTANCE

Department of Military and Veterans Affairs
Division of Homeland Security and Emergency Management

**STATE OF ALASKA ADMINISTRATIVE PLAN
FOR
PUBLIC ASSISTANCE
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STATE of ALASKA ADMINISTRATIVE PLAN For FEDERAL DISASTER PUBLIC ASSISTANCE

I. PURPOSE

The purpose of this plan is to identify the State of Alaska's (hereinafter referred to as the State) roles, responsibilities, processes, and procedures for administering the Federal Emergency Management Agency (FEMA) Public Assistance Program. Public Assistance (PA) is supplemental disaster aid to States, tribal and local governments, as well as certain Private Nonprofits for debris removal, emergency protective measures, and permanent restoration of infrastructure. This plan is integrated into and supportive of the State emergency plan.

The State assures FEMA that it shall comply with all applicable Federal statutes and regulations in effect during the periods for which it receives grant funding, including those listed under Section II below. The State acknowledges that funding under the FEMA PA Program is conditional upon the State's compliance with all the terms and conditions of this plan.

II. AUTHORITY

A. State

1. Alaska Statute Title 26: Chapter 20, Homeland Security and Civil Defense
2. Alaska Statute Title 26: Chapter 23, Disasters
3. Alaska Statute Title 29: Municipal Government, to include Chapters 4, 20, and 35
4. Alaska Administrative Manual
5. Accounting Procedures Manual
6. Executive Orders of the Governor
7. State Emergency Operations Plan
8. FEMA State Agreement

B. Federal

1. 42 U.S.C. § 5121-5207, Robert T. Stafford Act

2. FEMA Regulation, 44 Code of Federal Regulations (CFR) Part 206
3. FEMA Regulation, 44 CFR Part 13
4. FEMA Regulation, 44 CFR Part 9
5. FEMA Regulation, 44 CFR Part 10
6. FEMA Regulation, 44 CFR Part 59
7. FEMA Regulation, 44 CFR Part 60
8. FEMA Regulation, 44 CFR Part 61
9. OMB Circular A-102
10. OMB Circular A-110, relocated to 2 CFR Part 215
11. OMB Circular A-133
12. OMB Circular A-21, relocated to 2 CFR Part 220
13. OMB Circular A-87, relocated to 2 CFR Part 225
14. OMB Circular A-122, relocated to 2 CFR Part 230
15. Executive Order 12612, Federalism
16. Executive Order 12699 Seismic Design
17. Executive Order 12898, Environmental Justice
18. Executive Order 11988, Floodplain Management
19. Executive Order 11990, Protection of Wetlands
20. 16 U.S.C. § 3501, Coastal Barrier Resources Act
21. 16 U.S.C. § 470, National Historic Preservation Act
22. 16 U.S.C. § 1531, Endangered Species Act References

III. DEFINITIONS

- A. **Alternate Project:** A Sub-grantee may determine that the public welfare would not be best served by restoring a damaged facility or its function to the pre-disaster design, although the facility was still in use at the time of the disaster. In this event, the Sub-grantee may apply to FEMA to use the Public Assistance grant for permanent restoration on that facility for other purposes. Projects other than the damaged facility on which the Sub-grantee spends eligible funds are referred to as alternate projects (44CFR206.203). See also FEMA Guide 322, pages 79, 111-112, 134 for further guidance.
- B. **Sub-grantee (Applicant):** A State, local, Indian Tribal government or authorized Tribal organization, Alaskan Native Village, other legal entity, or certain qualifying private nonprofit organization, referred to as Applicant pre-grant award and Sub-grantee post award that receives a sub grant and is accountable to the Grantee for the use of the funds provided.
- C. **Applicants' Agent:** An agent specified by the Applicant's Principal Executive Officer or Administrator on the Designation of Applicant's Agent Form (DHS&EM Form 30-5) as the Applicant's primary point-of-contact for all matters pertaining to its request for assistance. If no agent is appointed, the Principal Executive Officer or Administrator will be designated as the Applicant's agent. The Designation of Applicant's Agent form must be kept current by the Applicant and updated as needed with the DHS&EM.
- D. **Capability Assessment and Recovery Tool:** A written document consisting of 3 parts 1) High Risk review, 2) Preliminary Screening, and 3) Recovery Plan. Tool is deployed as soon as possible after potential PA program applicants are identified. The purpose of this tool is to assist in determining applicant recovery capabilities and to improve project worksheet development

and recovery planning. Funding for permanent work will not be disbursed until sub-grantees Recovery Plan is on file with DHS&EM.

- E. Applicant's Briefing:** Meeting conducted by a representative of the State for all potential Applicant's interested in receiving Public Assistance grants. This briefing occurs after an emergency or major disaster declaration and addresses the application process, procedures, administrative requirements, and funding and program eligibility criteria. This is also typically when Requests for Public Assistance (RPA's) are submitted from the potential Applicant's to the State. See page 91-92 of the Public Assistance Guide for further information.
- F. State Public Assistance Officer (SPA0):** A State representative who administers the Public Assistance Program at the State level. The SPA0 will normally be a member of the State Emergency Management staff.
- G. Direct Administrative Costs:** Costs incurred by the Grantee or Sub-grantee that can be identified separately and assigned to a specific project. In accordance with OMB Circular A-87, (relocated to 2 CFR Part 230) treatment of direct costs must be consistent across all Federal awards and other activities of the Grantee or Sub-grantee. Such costs can include staff time to conduct initial inspections, prepare and submit a Project Worksheet (PW) and make interim and final inspections of the project.
- H. Division of Homeland Security and Emergency Management (DHS&EM):** Within the Department of Military and Veterans Affairs (DMVA), the Division of Homeland Security and Emergency Management (DHS&EM) has the responsibility under the Alaska Disaster Act to prepare and maintain a State emergency plan which includes provisions for prompt and effective response to disasters, emergency relief, organization of personnel, chains of command, preventive and preparedness measures to eliminate or reduce disasters or their impact. DHS&EM is also the State agency responsible for coordinating recovery efforts.
- I. Emergency Work:** Work performed to reduce or eliminate an immediate threat to life, protect public health and safety, and to protect improved property threatened in a significant way as the result of the disaster. Under the Public Assistance Program, Category A (Debris Removal), and Category B (Emergency Protective Measures) are referred to as Emergency Work. See page 66-78 of the Public Assistance Guide for further information.
- J. Emergency Management Mission Integrated Environment (EMMIE):** The platform on which many web-based FEMA E-Grants applications will reside, such as, Public Assistance and Fire Management Assistance Grants. This FEMA based program will replace NEMIS.
- K. Federal Emergency Management Agency (FEMA):** The Federal agency responsible for coordinating disaster recovery efforts.
- L. FEMA State Agreement:** A legal document between FEMA and the affected State outlining the understandings, commitments, terms and conditions for assistance resulting from a Federal disaster or emergency declared by the President. The FEMA Regional Administrator and the Governor sign the document.
- M. Governor's Authorized Representative (GAR):** The individual designated by the Governor to execute all necessary documents for disaster assistance programs on behalf of the State and local grant recipients. The GAR is responsible for State compliance with the FEMA-State Agreement. The GAR may also be designated as the State Coordinating Officer (SCO).

- N. **Grantee:** The Grantee is the State of Alaska. See pages 9-10 of FEMA's Public Assistance Guide for further information.
- O. **Hazard Mitigation:** Cost effective measures to reduce the potential for damage to a facility from a future disaster incident. See pages 124-127 of the Public Assistance Guide for further information.
- P. **Hazard Mitigation (Section 406):** Mitigation measures that must be directly part of the reconstructed work on a facility, or will protect or benefit the repaired portion of the facility. Section 406 Hazard Mitigation is included, when appropriate, as part of the PW scope of work. Section 406 Hazard Mitigation is different from mitigation measures that are considered for eligibility under the Hazard Mitigation Grant Program (HMGP) of Section 404 of the Stafford Act. See pages 124-127 of the Public Assistance Guide for further information.
- Q. **Hazard Mitigation (Section 404):** In the Hazard Mitigation Grants Program (HMGP), mitigation measures are proposed which may involve facilities other than those damaged by a disaster; new facilities or even non-structural measures such as development of floodplain management regulations. See pages 124-125 of the Public Assistance Guide for further information.
- R. **Immediate Needs Funding:** An advance of grant funds by FEMA, not to exceed 50 percent of the Preliminary Damage Assessment estimate, to assist with payment of emergency work that must be performed immediately and paid for within the first 60 days after a disaster declaration. See pages 90-91 of the Public Assistance Guide for further information.
- S. **Improved Project:** A project in which a Sub-grantee makes improvements to the facility (beyond returning the facility to pre-disaster condition) while performing disaster restoration work. For the most part, these are projects for which funding for the improvements cannot be separated from the costs of the original repair work. The improved facility must have the same function and at least the equivalent capacity as that of the pre-disaster facility. Funding for such projects is limited to the original cost estimate associated with repairing or replacing the damaged facility to its pre-disaster design. The sub grantee must obtain approval for an improved project from the State prior to construction (44 CFR 206.203). Also see pages 79, 110-111 of the Public Assistance Guide for further information.
- T. **Indirect Costs:** Costs a Grantee or Sub-grantee incurs for a common or joint purpose benefitting more than one cost objective (Project Worksheet) that are not readily assignable to the cost objectives specifically benefitted.
- U. **Initial Incentive Payment:** A payment made to Sub-grantees not considered "High Risk" as outlined in 44 CFR §13.12, upon request, of up to the full amount of the federal cost share for each Project Worksheet (equals 75% of the total value of the grant award).
- V. **Joint Field Office (JFO):** A temporary facility established in a Presidential declared disaster area to serve as the field headquarters for FEMA and other Federal, State, voluntary and local recovery personnel. Also serves as the focal point for disaster operation, direction, coordination and information. See page 3 of the Public Assistance Guide for further information.
- W. **Kick-Off Meeting:** A meeting conducted by FEMA, in coordination with the State, with each potential Applicant individually in order for the Applicant to identify damages, assess specific needs, discuss special considerations and develop a plan of action.

- X. Large Project:** Approved projects estimated to cost the same or more than the large project threshold amount (\$67,500 for fiscal year 2013. The large project threshold is adjusted annually to reflect changes in the Consumer Price Index for all Urban Consumers. The determination of the threshold is based on the declaration date of the disaster. The threshold amount applicable to any project is that amount in effect on the declaration date of the disaster, regardless of when project approval is made or when the work is performed.
- Y. Lock-In Amount:** The amount of management cost funds available to the State for a particular major disaster or emergency as FEMA determines at 30 days, 6 months and 12 months.
- Z. National Emergency Management Information System (NEMIS):** A FEMA-wide system of hardware, software, telecommunications and applications that provides a technology base for FEMA and the State to carry out the emergency management recovery mission. This system has been replaced by EMMIE (see above) in Federal disasters declared after 2008.
- AA. Permanent Work:** That work required to restore a damaged facility through repairs or replacement to pre-disaster design, function and capacity in accordance with applicable codes and standards. Under the PA Program, Category C (Roads and Bridges), Category D (Water Control Facilities), Category E (Buildings and Equipment, Category F (Utilities) and Category G (Parks, Recreational Facilities, and Other Items), are referred to as Permanent Work. See pages 79-87 of the Public Assistance Guide for further information.
- BB. Principal Executive Officer:** The Mayor (normally the Chief Elected Official), City Manager/Administrator or, where there is no home rule or general law municipality, the recognized Traditional Village Council Chief or Administrator, or an eligible incorporated non-profit entity CEO or COO.
- CC. Project Worksheet (FEMA Form 009-0-0-7):** The form used to document the scope of work and cost estimate for a project. See pages 96-97 of the Public Assistance Guide for further information. This term is now referred to as a Sub-Grant Application for use in EMMIE.
- DD. Public Assistance:** Federal assistance provided through FEMA, under authority of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (44 USC 5121-5207) for infrastructure recovery. Under this program, FEMA awards grants to assist State, Tribal, and local governments as well as certain private non-profit entities with response and recovery from disasters.
- EE. Public Assistance Coordinator (PAC):** A FEMA program expert who, in coordination with the State, serves as the Sub-grantee's representative on PA Program matters and ensures the processing of the Sub-grantee's projects, from the Federal declaration through the obligation of funds for a PW.
- FF. Request for Public Assistance (RPA) FEMA Form 90-49:** Form used by Applicant's as an official notification to FEMA of their intent to apply for Public Assistance. This term is now referred to a pre-application for use in EMMIE.
- GG. Small Project:** Approved projects estimated to cost less than the large project threshold amount. See Large Project definition above.
- HH. Special Considerations:** Issues other than program eligibility that may affect the scope of work and funding for a project. These issues include, but are not limited to: insurance,

floodplain management, coastal zone management, hazard mitigation, historic preservation, and environmental preservation. See pages 115-136 of the Public Assistance Guide for further information.

II. State Coordinating Officer (SCO): The individual designated by the Governor to coordinate State and local disaster assistance efforts with that of the Federal government through the Joint Field Office (JFO) and the Federal Coordinating Officer.

JJ. State Disaster Assistance Program Manager (DAPM): The Disaster Assistance Section Program Manager will provide overall program oversight and will manage resources appropriately to ensure Disaster Assistance program objectives are met.

KK. State Management Cost: Any indirect costs, administrative expenses, and any other expenses that a grantee or Sub-grantee reasonably incurs in administering and managing the PA grant that are not directly chargeable to a specific project. (See 44 CFR §207.2)

LL. State Public Assistance Branch Chief (PABC): The individual(s) designated to oversee the Public Assistance program and all related support staff. The SPABC will normally be a member of the State Emergency Management staff.

MM. State Public Assistance Officer (SPAO): The individual responsible for administering the Public Assistance Program at the State level. The SPAO will normally be a member of the State Emergency Management staff.

NN. Sub-grantee: A government, other legal entity, or qualifying private non-profit organization that receives an award and is accountable to the Grantee for the use of the funds provided. Also referred to as the Sub-grantee. For the purpose of the Public Assistance program and this plan, the Alaska Railroad Corporation (ARRC) will be regarded as a state agency and not be excluded as an eligible applicant solely based on its profit generating potential.

OO. State Emergency Operations Center (SEOC): The primary coordination center for all State and Federal disasters in Alaska. The SEOC coordinates all intelligence, operations and logistics matters for the response and initial recovery phases of a disaster.

PP. Quarterly report: A progress report submitted by the Sub-grantee to the State on a quarterly basis. It includes details on the Sub-grantee, the project, key dates and activities, funds expended, cost over-run potentials, changes to Scope of Work or other issues and anticipated completion dates.

IV. ORGANIZATION AND RESPONSIBILITIES

A. State-The Governor has designated the Division of Homeland Security and Emergency Management (DHS&EM), within the Department of Military and Veterans Affairs (DMVA), as the State office responsible for managing and administering the PA Program. These responsibilities include, but are not limited to:

- 1.** Ensuring the FEMA/State agreement is coordinated and executed (SCO).
- 2.** Submitting the Application for Federal Assistance, SF-424 (Disaster Grants).

3. Complying with Federal and State program and grant administrative requirements (SPAO).
 4. Notifying potential Sub-grantees of the availability of assistance (PIO).
 5. Assisting the local government in conducting preliminary damage assessments (Operations Section in SEOC).
 6. Conducting Applicant's Briefings (SPAO).
 7. Complete Recovery Assessment Tool (SPAO).
 8. Requesting Immediate Needs Funding on behalf of Sub-grantees as applicable (SPAO) in coordination with the PABC and DAPM).
 9. Attending Kick-Off Meetings (SPAO/Contractor).
 10. Assigning a Public Assistance Liaison to work with the FEMA Public Assistance Coordination (PAC) Crew Leader (PABC).
 11. Assisting FEMA in determining work and Sub-grantee eligibility and with writing the PW(s) (SPAO/Contractor).
 12. Reviewing and approving the PW(s) at the State level and making the necessary comments in EMMIE (SPAO).
 13. Processing requests for appeals, reviewing cost over-runs, approving time extensions, improved/alternate projects, advances and reimbursements (SPAO, PABC, DAPM).
 14. Making recommendations to FEMA on appeals and improved/alternate project requests (SPAO, PABC, DAPM).
 15. Securing insurance information from Sub-grantees when required (SPAO).
 16. Monitoring Sub-grantee's adherence to the procurement and contract requirements outlined in 44 CFR Part 13 and this plan (SPAO/Disaster Grants).
 17. Participating with FEMA in establishing hazard mitigation and insurance requirements (SPAO).
 18. Monitoring sub-grants by conducting quarterly reviews, site inspections and audits as required, ensuring program compliance (SPAO/Disaster Grants).
 19. Reviewing and certifying project completion information (SPAO).
 20. Determining budget and staffing requirements necessary for proper program management (PABC, DAPM).
 21. Providing programmatic assistance upon Sub-grantee request or when deemed necessary by the SPAO (PABC).
 22. Requesting closeout of projects, Sub-grantees, and programs (SPAO).
- B. Sub-grantee- responsibilities include, but are not limited to:**
1. Preparing and participating in the Preliminary Damage Assessment (PDA).
 2. Attending the Applicant's Briefing.
 3. Submitting a Request for Public Assistance.
 4. Attending the Kick-Off Meeting.
 5. Identifying damages that are a direct result of the disaster.
 6. Providing all required information for project worksheet formulation within assigned deadlines as outlined in this plan and assisting FEMA and the State in PW formulation.
 7. Complete, sign, and return a Grant Agreement Package to the State prior to Grant award.
 8. Provide all documents as required from the Grant Award Package within prescribed deadlines in an accurate, completed and signed (as needed) condition.
 9. Assigning a Designated Applicant Agent to work with FEMA and the State throughout the Public Assistance process.
 10. Reviewing the PW(s) to ensure the location of damages, damage description and dimensions, scope of work and cost estimate are accurate and complete.

11. Tracking project costs separately for each project as costs are incurred and submitting cost documentation to support claimed expenditures in a timely manner or by the deadline assigned by the State.
12. Ensuring contracted work is not awarded to state or federally barred contractors.
13. Ensuring the work conforms to that outlined in the PW(s) (Sub-Grant Application). If alternative methods of repairs are used, additional work is performed, the scope of work is not completed in its entirety, or cost over-runs are identified, the Sub-grantee will notify the SPAO before additional work or costs are incurred.
14. Monitoring projects by conducting quarterly reviews, site inspections, audits as required, and ensuring program compliance.
15. Providing appropriate cost documentation for all incurred expenses necessary to complete the approved scope of work.
16. Requesting appeals, over-runs, time extensions, etc. in a timely manner.
17. Submit all required forms and documentation required throughout the Public Assistance process in a timely manner or by the deadline assigned by FEMA and/or the State.
18. Certifying project completion.
19. Complying with the Federal and State program and grant administrative requirements.
20. Meeting all deadlines established in this Administrative Plan or assigned by the State.
21. Developing a Disaster Recovery Plan, detailing how work will be completed, lines of authority, etc.

V. STAFFING AND FUNDING

- A. Following a Federal declaration, the Governor will designate State certification officers to include a Governor's Authorized Representative (GAR), Alternate GAR, a State Coordinating Officer (SCO), and an alternate SCO.
 1. The GAR/AGAR is empowered to execute on behalf of the State, all necessary documents for disaster assistance, including approval of sub grants and certification of claims for Public Assistance. The GAR/AGAR maintains overall management and oversight of all aspects pertaining to the disposition of disaster assistance, hazard mitigation, donations management, programmatic compliance and materials disposition under the Federal disaster assistance program.
 2. The SCO will coordinate with the FCO to implement the Federal assistance program through the Joint Field Office (JFO).
 3. The Disaster Assistance Section Program Manager will provide overall program oversight and will manage resources appropriately to ensure Disaster Assistance program objectives are met.
 4. The SPAO may have additional assigned (as appropriate per event) staff for the initial work of Sub-grantee briefings, writing/reviewing PW's and determination of eligibility. This may include utilization of contract services to support various PA functions.
 5. Ongoing management of the PA Program will require several staff from the Disaster Assistance Section, Information Management, Clerical Support, and Finance to augment the SPAO, SCO, and GAR.
 6. After the JFO closes, primary responsibility for coordination of Federal assistance will shift from the SCO to the Disaster Assistance Section Program Manager with the assistance of the Public Assistance Branch Chiefs and the SPAO. The State will incur the initial costs for administrative support personnel. The State will submit a claim for reimbursement to FEMA in accordance with the management cost provisions of 44 CFR §206.228(a) (3) and 44 CFR Part 207 on a State fiscal year basis.

- B.** Disaster Grants Staff- Provides the final review of payment requests to ensure they comply with state and federal financial guidance. They also provide coordination of payment requests to the Department of Administration for processing.
- C.** Management and Program Staff – The State is responsible for administering all funds provided under the PA Program as well as coordinating the program among FEMA, the State and Sub-grantees.
- D.** Administrative Support Staff - Since staffing requirements vary depending on the magnitude, type and extent of the disaster, the following personnel may be used to assist the GAR, SCO and Disaster Assistance Section Program Manager in meeting program and grant administrative requirements:
 - 1.** Public Assistance Branch Chief- The individual(s) designated to oversee the Public Assistance program and all related support staff.
 - 2.** SPAO - The individual(s) designated to administer the Public Assistance Program at the State level. The designees will be Emergency Management Specialists from the Recovery Unit.
 - 3.** Voluntary Agency Liaisons, Sub-grantee Liaisons, Project Officers, Program Specialists, Accounting Specialists, Technical Specialists, Resource Coordinators, and other State Administrative Support Personnel as required, including Computer Specialist, Administrative Technician and Clerk/Typist -- qualified personnel from applicable State agencies who may assist the State Emergency Management staff.
- E.** Cost Sharing – The State of Alaska will not pass through to Sub-grantees any percentage or amount of the Management Costs made available under 44 CFR part 207.
 - 1.** Sub-grantee will assume all Indirect Costs associated with administration of disaster grants that cannot be identified separately and assigned to a specific project. (See Direct Administrative Cost and Indirect Cost definitions.
 - 2.** Any cost being claimed by a Sub-grantee as a “Direct Administrative Cost” will be considered a project cost and must be accounted for on the appropriate summary forms outlined in this plan and must be supported by actual cost documentation.
 - 3.** The basis for this determination is the State will continue to provide the 25 percent cost share to match FEMA’s 75 percent funding limit outlined in 44 CFR §13.24, §206.65 and §206.203 (b). Therefore Sub-grantees may not be required to provide a cost share for any disaster assistance grants. Further, Disaster Assistance Policy 9525.9 allows most costs associated with administration of eligible projects to be reimbursed as “Direct Administrative Costs”. The State of Alaska will not pass through to Sub-grantees any percentage or amount of the Management Costs made available under 44CFR part 207. The State of Alaska shall budget and provide the funds necessary for grant closeout. 44 CFR part 207.7(d)(2).

VI. Post Declaration Activities

- A.** The DHS&EM will ensure negotiation, coordination and execution of the FEMA/State Agreement.
- B.** Notifying Potential Applicants – The DHS&EM, the State Public Affairs Officer(s), City Mayor(s), Tribal Administrator(s), and local Emergency Management Coordinator(s) will be used to notify potential Sub-grantees of the available assistance programs. Applicants will be notified via letter, DHS&EM web page, telephone calls and/or relevant media available in the affected area or posted on community bulletin boards. This notification will include the time and date of the Applicants’ Briefing to be held in their area. Notification will occur as early as possible. The SPAO will provide details on the roles and responsibilities of the State and Applicants’, the appropriate staff to be in attendance, items the Applicants should bring to the

Applicants' Briefing and brief overview on cost documentation requirements. The Public Information Officer for DHS&EM will also disperse information on the Applicants' Briefings through their normal communication channels.

- C. Recovery Assessment Tool – The SPAO (or other designated staff) will complete the High Risk Applicant and Capability Assessment sections of the Recovery Assessment Tool to assist in identifying any necessary special conditions or restrictions appropriate to ensure program success and recovery. This tool is also used to identify areas where additional state support/guidance may be needed to assist applicants with programmatic requirements.
- D. Applicants' Briefing - Once a designated area has been approved for Public Assistance, members of the Disaster Assistance Section will conduct an Applicants' Briefing. The number of potential Applicants and the area involved in the disaster will determine the number of briefings held. The local government contact will arrange for the Applicants' Briefing location through coordination with the SPAO. Typically, the Applicants' Briefing is conducted by the SPAO or another Public Assistance staff member from DHS&EM. If FEMA chooses to participate in the briefing their roles and responsibilities will be pre-determined. At the Applicants' Briefing, a Request for Public Assistance (RPA) (*FEMA Form 90-49*) will be collected from each public entity, tribe and Private Nonprofit organization interested in pursuing assistance under the Public Assistance Program. The SPAO will provide each applicant with a Recovery Plan template/outline. The SPAO will brief applicants on the purpose and importance of the Recovery Plan. DHS&EM must have a Recovery Plan for each applicant prior to disbursement of any project funds. The SPAO will be responsible for providing the Applicants with the various policy manuals, policies and guides that provide information on the procedures that will be used throughout the Public Assistance process.
- E. Kick-Off Meeting - A Kick-Off Meeting is conducted following the Applicants' Briefing to provide each individual Applicant with specific information needed to meet requirements of the Public Assistance Program and to allow the Applicant to identify specific damages to their public infrastructure. The SPAO will ensure that a list of potential projects is left with each Applicants representative following the kick-off meeting. This starts the 60 day period for Applicants to identify and report disaster related damages to the State and FEMA and provide documentation to support project formulation.
- F. Damage Assessment – Following the conclusion of the Kick-Off Meeting, the State will participate in the damage assessments with FEMA and local personnel. The date and time of damage surveys will normally occur immediately following the Kick-Off Meeting, however, final coordination shall occur between the SPAO, FEMA PAC, and the local representative. The SPAO will make the local representative aware of what will be required during the damage assessments, to include the following:
 - 1. A list of all identified damages that were a direct result of the declared event.
 - 2. Map or drawings to indicate location of damaged facilities.
 - 3. Supporting documentation for work complete.
 - 4. Copies of applicable insurance policies.
 - 5. Copies of applicable codes and standards.
 - 6. Photographs of sites before and after event.
 - 7. Any known environmental or historic issues related to affected sites.
- G. Applicant Eligibility – The State will assist FEMA in screening all potential Applicants for eligibility using the RPA first. Then after the Applicants Briefings and site visits are complete, the joint State/FEMA teams will conduct a preliminary eligibility determination based on information gathered during the site visits. This will include verification and support by both FEMA and the State that the Applicant is eligible for the Public Assistance program. If a difference of opinion arises between the team members, the issue will be brought to the FEMA Public Assistance Group Supervisor and the State Public Assistance Branch Chief for review

and determination. FEMA makes all final determinations regarding eligibility. Applicant eligibility determinations will not be made in the field during the site visits. The FEMA/State teams will visit and gather all of the necessary information for each damaged site shown by potential Applicants that would normally be necessary to write a PW, regardless of eligibility. Per 44 CFR § 206.222, eligible Applicants under the PA Program are:

1. State agencies, local governments and governmental entities. The ARRC is a quasi-state agency with profit generating potential. As such, it is and has been an eligible Public Assistance applicant.
2. Federally recognized Indian tribes or authorized tribal organizations and Alaska Native Village organizations. This does not include Alaska Native Corporations, which are owned by private individuals.
3. Private nonprofit organizations that have an IRS tax exemption certificate and organization charter or by-laws, as outlined in 44 CFR§206.221(f). They must also provide an essential governmental-type service to the public. Special utility districts must provide a copy of the legislation that grants the district taxing authority. Eligible Private nonprofit organizations must own or operate educational, utility, emergency, medical, custodial care, or other essential governmental service facilities. Other essential governmental service facilities are defined as museums, zoos, community centers, libraries, homeless shelters, senior citizen centers, rehabilitation facilities, shelter workshops and other facilities which provide a health and safety service of a governmental nature. More information on private nonprofits can be found at 44 CFR§206.221(e) and FEMA’s Public Assistance Guide (FEMA 322), pages 10 through 19.

VII. Public Assistance Grant Application Process

- A. Grantee Process – The State will submit an “Application for Federal Assistance” (SF 424), “Assurances for Non-Construction Programs” (SF 424B) and “Assurances for Construction” Programs (SF 424D), to FEMA in order to receive Federal funding. Approved PW’s will be the basis for issuing sub-grants to eligible Applicants in accordance with the cost sharing provisions established in the FEMA-State agreement.
 1. Applicant Process – In order to receive Federal funding, the Applicant will submit a “Request for Public Assistance (RPA)” (FEMA Form 90-49) within 30 days of the declaration date. If the Applicant is a Private Nonprofit Organization, they will be required to submit a completed PNP Questionnaire (FEMA Form 90-121) in addition to the RPA, within 30 days of the declaration date. Applicants must also complete a Recovery Plan that includes details on the projected completion process for each project. Requests submitted after this 30-day period will be reviewed and, if warranted, forwarded to FEMA for consideration. The State may ask FEMA for an extension to the filing deadline. Grant Agreement Package - Once FEMA makes an eligibility determination, the State will be responsible for forwarding the appropriate Grant Agreement forms to the Applicant for signature. All applicable forms must be returned to the State prior to award of the Grant. The **Grant Agreement Package** includes:
 - State cover letter (Project Application Letter).
 - Applicant Insurance Commitment Form.
 - Designation of Applicant’s Agent (DHS&EM Form 30-5).
 - Assurances and Agreements (DHS&EM Form 30-58) Applies to all Applicant’s
 - Waiver of Sovereign Immunity (DHS&EM Form 30-62).
 - Indemnity and Hold Harmless Agreement (DHS&EM Form 30-81).
 - Recovery Plan template.

- Contract/Procurement information.
- Request for Public Assistance (RPA)
- (RPA) for Private Non-Profits
- Private Non-Profit Facility Questionnaire

B. PW Preparation

1. Depending on the size and nature of the disaster, the State may choose to participate at various levels in the Public Assistance process. FEMA's Project Officers (PO's) will have primary responsibility for writing the PWs, however it will be completed with State and Applicant assistance at all levels. This will include the SPAO and /or disaster assistance contractors, working with the various Applicants to advise and assist them in providing the information required to complete the PW(s), reviewing draft versions of the PW(s), and ensuring that all damages identified by the Applicant are included in a PW. In addition, the SPAO and /or disaster assistance contractors, and FEMA PO's will identify hazard mitigation opportunities and requirements as provided by Section 406 of the Stafford Act. Eligibility determination for 406 Mitigation Projects will be based on the following sources: FEMA 9500 Series policies, Appeals Database, Flood Hazard Mitigation Handbook for Public Facilities, and FEMA manuals (i.e. Special Considerations, Public Assistance Policy Digest and the Public Assistance Guide). Once the PW(s) is/are drafted and any issues rectified, the SPAO and FEMA Project Officer will sign the PW(s) and the SPAO and /or disaster assistance contractors, will then send the PW(s) to the Applicant for their review. All draft project worksheets will be reviewed using FEMA's quality assurance and control procedures.
2. All project information required to complete the PW's, Damage Description and Dimensions, Scope of Work, Cost Estimate, Insurance information, etc. must be submitted within **30 days** of the Kick-Off Meeting. Any newly discovered damage not reported at the Kick-Off meeting must be reported to the state/FEMA within 60 days of the Kick-Off meeting. If this cannot be met, the Applicant should follow the procedures for requesting a time extension. If all project information required to complete the PW's cannot be obtained because weather or other reasons hindering the ability to view the damages and the Kick-Off Meeting has already occurred, the new deadline assigned will be 60 days from the date of the actual site visit, pending FEMA approval.
3. If damages are not fully documented within the 60-day deadline and an extension has not been requested by the Applicant or has been denied, the PW will be written based on information provided from the Applicant up to that point, or FEMA may utilize the FEMA cost codes/resources, as identified in 44 CFR§206.228 for estimating repair/replacement costs. The Applicant will be given a standard 60-day appeal option as outlined in the award letter.
4. Project Worksheet Review – After the PW's have been drafted and reviewed by FEMA and the State, the Draft PW is forwarded to the Applicants for review and concurrence. Once the Applicant receives the Draft PW, they may have **up to** five business days to perform their review and to provide feedback to the State/FEMA. This is an attempt to minimize appeals or requested changes after the PW has been obligated. If the Applicant concurs with the PW as written, they will sign, date and return the PW and associated documentation back to the State/FEMA.
5. If the Applicant fails to take action on the draft PW, then it will be entered into EMMIE "as-is."
6. If there are any areas of disagreement noted, the Applicant will contact the State/FEMA to discuss the specific areas of concern and concurrently make changes to the PW as

required. If agreement cannot be reached, the PW's will be entered into the FEMA PW Management System (EMMIE) and the Applicant will be granted appeal rights once the PW is officially obligated or denied by FEMA.

7. Disputes/Conflict Resolution. In order to expedite funding and minimize Applicant appeals, the following conflict resolution process should be followed:
 - If an Applicant Liaison has been assigned, the Applicant should notify this individual of the unresolved issue.
 - The Applicant Liaison should work to resolve the issue with the PAC. If the issue remains unresolved, the Applicant Liaison should notify the SPAO.
 - The State PAO should work to resolve the issue with the PAO.
 - If these steps do not result in resolution, the Applicant is referred to the appeal process.
8. Grant Award Package – After the applicant completes and submits the RPA and forms found in the Grant Agreement package, the applicant will receive a grant award package. The obligated PW's will be included as part of the award package and will include Applicant appeal rights should the Applicant not agree with the PW's as written. The **Grant Award Package** includes:
 - Award Letter.
 - DHS&EM Form 30-3 Request for Funds Form.
 - Direct Vendor Payment Form (On Behalf Of).
 - Procurement Method Report (PMR).
 - Non Competitive Single Source Procurement Form.
 - DHS&EM Form 30-4 Statement of Documentation.
 - DHS&EM Form 30-60 Project Quarterly Report.
 - DHS&EM Form 30-80 Certificate of Compliance.
 - DHS&EM Form 30-102 Project Final Narrative Form.
 - FEMA Form 90-91 Project Worksheet.
 - DHS&EM Form 30-72 Force Account Labor Summary Record.
 - DHS&EM Form 30-73 Materials Summary Record.
 - DHS&EM Form 30-74 Rented Equipment Summary Record.
 - DHS&EM Form 30-75 Contract Work Summary Record.
 - DHS&EM Form 30-76 Force Account Equipment Summary Record.
 - FEMA Form 90-128 Applicant's Benefits Calculation Worksheet.
 - FEMA Form P.4 Project Completion and Certification Report.
9. Eligible PW's – The State will notify the Applicant when its project application is prepared and ready for signature.
10. Ineligible PW's – written notification to the Applicant of the ineligibility finding with FEMA's justification and the Applicant's appeal rights.
11. The varied levels of State involvement may include:
 - Assign a State Project Officer(s) Specialist(s) and/or Contracted Service Staff to the JFO Resource Pool.
 - Assist FEMA and/or the Applicant in developing scopes of work and cost estimates.
 - Notify FEMA of any special considerations and/or technical assistance requirements needed to facilitate project approval.
 - Provide State support as needed, such as engineers for highly technical projects or mediators to resolve disputes, etc.
 - Assist FEMA and the Applicant in identifying hazard mitigation opportunities as provided by Section 406 of the Stafford Act.

- Submit applications and make recommendations to FEMA on project approval.
- Participate in the small project validation process.
- Request re-inspections or time extensions for additional significant damage not previously identified within 60 days of an initial Applicant inspection.
- Facilitate informal resolution of disputes through management oversight by the Disaster Assistance Section Program Manager.

12. The Applicant/Applicant will:

- Identify all disaster related projects.
- Assist in the preparation of all PW's by thoroughly reviewing each Project Worksheet to ensure damage descriptions, scopes of work, cost estimates etc. are accurate and complete. Also must be proactive in identifying and correcting all errors and/or discrepancies to DHS&EM staff.
- Address pertinent environmental and historic preservation requirements, insurance coverage, floodplain management issues and hazard mitigation opportunities.
- Report any damage that is not previously identified to the State or PAC within 60 days of the initial inspection.
- Describe the pre-disaster facility, function and location.
- Describe the repairs necessary to repair facility to its pre-disaster design, function and capacity.
- Describe any change in the pre-disaster design of the facility that may be necessary.
- Provide a justifiable cost estimate to complete the repairs.
- Apply for and obtain all necessary permits.
- Ensure research is conducted (view and print a screen shot from the federal SAM site (<https://www.sam.gov/portal/public/SAM/>) to verify material purchases and contracts are prevented from being awarded to any party that is barred or suspended or is otherwise excluded from participation in federal programs under Executive Order 12549, "Debarment and Suspension." This action must be taken prior to a contract being awarded or material purchase being made and documented on the procurement method report along with the SAM screen shot and provided to SPAO.
- Comply with all local, State, and Federal insurance requirements.

VIII. Project Funding

- A.** Applicants (Sub-grantees after grant obligation) are briefed of the requirements imposed on them by Federal and State statutes, such as Allowable Costs, Cash Management and Reporting throughout the Public Assistance Process and acknowledge by signing the Assurances and Agreements form. The Applicant/Sub-grantee also receives a copy of this Administrative Plan that outlines those requirements. The responsibility for the cost share requirements outlined in 44 CFR 13.24 shall be stated in the FEMA/State Agreement. For the purpose of this plan, the State of Alaska will assume the responsibility for meeting the 25% cost share requirement and the funds will be generated from the State Disaster Relief Fund. The cost share for large projects shall be determined from final project costs and will be adjusted at closeout based on actual eligible costs. The exception to this provision concerns the ARRC. DHS&EM will render a decision concerning cost share per disaster based on overall economic impact to the ARRC, notify the applicant, and include a statement in the disaster specific Administrative Plan. Per 44 CFR 206.205, the state contribution to the non-Federal share will be paid as specified in the FEMA-State Agreement. The Federal payment for small projects shall not be reduced if all of the approved funds are not spent to complete a project.

1. 44 CFR § 13.22 – Allowable Costs, Limitations on the use of funds - Grant funds may only be used for:
 - The allowable costs of the grantee, Applicants/ Sub-grantees, and cost type contractors, including allowable costs in the form of payments to fixed priced contractors.
 - Reasonable fees or profit to cost type contractors but not any fee or profit (or other increment above allowable costs) to the grantee or Applicant/Sub-grantee.
2. Applicable Cost Principles – For each kind of organization, there is a set of Federal principles for determining allowable costs. Allowable costs will be determined in accordance with the cost principles applicable to the organization incurring the costs as follows:
 - State, Local or Indian Tribal Governments – OMB Circular A-87, relocated to 2 CFR Part 225.
 - PNP Organizations (other than an institution of higher education, hospital or organization named in OMB circular A-122 as not subject to that circular) – OMB Circular A-122, relocated to 2 CFR Part 230.
 - Educational Institutions – OMB Circular A-21, relocated to 2 CFR Part 220.
 - These circulars are available on the web at <http://www.whitehouse.gov/omb/circulars/index.html>
3. 44 CFR § 13.37 – Sub-grants:
 - The State of Alaska shall follow state law and procedures when awarding and administering sub-grants to State agencies, whether on a cost reimbursement or fixed amount basis, of financial assistance to local and Indian tribal governments. The State shall:
 - Ensure that every sub-grant includes any clauses required by Federal statute and executive orders and their implementing regulations.
 - Ensure that Applicants/Sub-grantees are aware of requirements imposed upon them by Federal statute and regulation.
 - Ensure that a provision for compliance with Sec. 13.42 is placed in every cost reimbursement sub-grant.
 - Confirm any advances of grant funds to Applicants/Sub-grantees substantially to the same standards of timing and amount that apply to cash advances by Federal agencies.
 - All other grantees. All other grantees shall follow the provisions of this part which are applicable to awarding agencies when awarding and administering sub-grants, whether on a cost reimbursement or fixed amount basis, of financial assistance to local and Indian tribal governments. Grantees shall:
 - Ensure that every sub-grant includes a provision for compliance with this part.
 - Ensure that every sub-grant includes any clauses required by Federal statute and executive orders and their implementing regulations.
 - Ensure that Applicants/Sub-grantees are aware of requirements imposed upon them by Federal statutes and regulations.
 - By their own terms, certain provisions of this part do not apply to the award and administration of sub-grants:
 - Section 13.10.
 - Section 13.11.
 - The letter-of-credit procedures specified in Treasury Regulations at 31 CFR part 205, cited in Sec. 13.21.
 - Section 13.50.

- B.** The State will manage Public Assistance funds separately by specific disaster. The State will allocate and account for funds based on approved and obligated Project Worksheets. As PWs are obligated, the state will encumber the obligated amount within the Statewide Accounting System throughout the entire disaster. The Division of Administration provides a detailed “Expenditures by Program” report monthly to Public Assistance staff for review. The SPAO is responsible to review the report upon receipt checking for anomalies and on a quarterly basis, complete a thorough review, ensuring all programmatic funds are accurately accounted for. Funds are tracked daily within the Public Assistance Section by use of detailed disaster status sheets created for each specific disaster.
- C.** The State will disburse funds to the Sub-grantee after the PW’s are obligated, the Sub-grantee completes the grant agreement between the Sub-grantee (applicant) and the grantee (State), and they either request an Initial Incentive Payment, Advance, On-Behalf-Of (OBO) payment, Reimbursement or complete the project and submit all required back-up documentation Summary and Closeout forms. The State will maintain records of all Sub-grantee issues across disasters. Sub-grantees who are considered “High-Risk” as outlined in 44 CFR § 13.12 will be monitored at a greater degree than “Non-High Risk” (see VI section E. Project Performance, (k) Special Sub-grant conditions for “High Risk” sub-grantees” and (1) Required Close-Out Documents (iii) High Risk Sub-grantees) sub-grantees and may have payment requests adjusted to limit risk to public funds. After accumulating 12 consecutive months of successful PA financial grant actions, “High Risk” sub-grantees may submit a written request to the Disaster Assistance Program Manager to be removed from “High Risk” status. Payments will be made utilizing the following methods:
- D.** Small Projects – Approved projects estimated to be less than the large project threshold amount established by FEMA are considered Small Projects. FEMA will adjust this amount annually to reflect changes in the Consumer Price Index for all Urban Consumers and publish it in the Federal Register before October 1. The determination of the threshold that will be used to classify a project is based on the declaration date of the disaster. Funding for small projects is based on the PW cost estimate.
- 1.** Sub-grantees (Non-High Risk)
 - Initial Incentive Payments – Sub-grantees may request funds up to the full amount of the federal share for each grant award (75%) as an Initial Incentive Payment. Sub-grantees make these payment requests using the standard Request for Funds form. The State Public Assistance Officer will review the request and process as deemed reasonable. The Sub-grantee is responsible for retaining all cost documentation that will be required for any future audits. Sub-grantees who are provided the full amount of the federal share for each grant award must complete their Small Projects by the original completion deadlines or they will be required to report on those initial Incentive Payment funds, return any un-liquidated portions and request a time extension from the State. If the Sub-grantee provides inadequate justification for their request and the State denies additional time to complete the project(s) the Sub-grantee will receive funding for eligible costs incurred up to the latest approved completion date. The project scope of work must still be completed in order for the sub-grantee to keep any funds provided. Sub-grantees who do not complete the project and do not submit the appropriate Summary and Closeout forms will be required to return all funding. Sub-grantees who fail to do so will be denied disaster recovery funding in future events equal to the amount owed and will be classified as “High Risk.”
 - Final payments - When the Sub-grantee has completed work associated with each Small Project, submitted the appropriate Close-Out forms and received a Final Inspection the State will issue a final payment to the Sub-grantee. This

payment will be for the remaining 25% of grant funding for the project. When the final payment is made the State will consider each Small Project closed.

- If the Sub-grantee spends less than the amount estimated on the project worksheet the total payment will not be reduced to match actual costs.
- If the Sub-grantee incurs costs significantly greater (\$1000 or more) than the total amount approved for all Small Projects the Sub-grantee may appeal for additional funding. This opportunity applies only to a Net Cost Overrun when all Small Projects are complete and final costs are known and does not apply to individual projects. Sub-grantees must provide a per Project Worksheet breakdown of all costs for **all** Small projects regardless of whether they all had an overrun or not. This breakdown must include cost Summary forms and all back up to support the costs (invoices, timesheets, equipment logs etc) and a complete explanation why the costs were necessary to complete the PW scope of work.

E. For Large Projects- Approved projects estimated to be equal to or greater than the large project threshold amount are considered Large Projects. For Non-High Risk Sub-Grantees funding is based on actual documented costs. However, due to the complexity and nature of most large projects, work typically is not complete at the time FEMA writes the project worksheet. Because of this, many Large Projects initially are approved based on estimated costs. Funds generally are made available to the Sub-grantee on a progressive payment basis as work is completed (up to 75% of the total PW amount). When all work associated with the project is complete the State performs an audit of actual costs and reconciles those costs and documentation against the PW scope of work. Reimbursement is based on actual eligible costs incurred to complete the approved PW scope of work not the PW approved amount. Funds are typically disbursed to sub-grantees through several payment methods.

1. Advance Payments - Upon submittal of a "Request for Funds" form (DHS&EM Form 30-3) the State may advance a Sub-grantee up to 30 % of the total PW cost estimate that must be used within 30 days of receipt.
 - The amount allowed by the State Public Assistance Officer will be determined by the information provided on the "Request for Funds" form, specifically, the type of work that will be completed and the start and end dates identified. Any amount not expended within the 30-day period must be returned to the State immediately. Failure to comply with this requirement may jeopardize the Sub-grantee's grant funds and will require them to report and return interest earned while these funds were on deposit in an interest bearing account.
 - The Sub-grantee must report on status of advance funds within 30 days of receipt and has up to 60 days to provide the appropriate Summary forms and supporting cost documentation i.e., invoices, timesheets, etc. If the Summary forms and supporting cost documentation is not received within the time limitations the State will begin the de-obligation process for remaining funds, collection procedures on advance funds provided and closeout the Sub-grantee's project file.
 - A Sub-grantee may request additional advance payment of funds, not to exceed 30%, of the PW total estimate by completing an additional "Request for Funds" form and providing the appropriate Summary forms with all supporting back-up documentation to substantiate expenditures for the previous advance.
 - The total of all advances for any one PW will not exceed the federal share for the grant award (75% of the PW amount).

2. Reimbursements - Sub-grantees may receive payments for large projects after portions of the work have been completed on a reimbursement basis. For these types of payments Sub-grantees will be required to submit the following:
 - “Request for Funds” (DHS&EM Form 30-3).
 - All Appropriate Summary Forms.
 - Cost back-up documentation to support all claimed costs.
 - The total of all reimbursements prior to Closeout will not exceed 75% of the PW amount unless the GAR approves the waiver to the 75% requirement is submitted.
 - Requests for reimbursements are reviewed and approved in four levels:
 - The State Public Assistance Officer completes a thorough review to ensure compliance with programmatic and eligibility requirements. All payments will be tracked by the SPAO in order to keep a running total of funds paid per project.
 - Disaster Grants staff completes a financial review to ensure compliance with OMB requirements.
 - The State Public Assistance Branch Chief then completes a spot check audit to verify the determination.
 - The Governor’s Authorized Representative, or alternate, provides final approval prior to payment.
3. On Behalf Of (OBO) Payments (formerly Direct Vendor Payments) - Sub-grantees may request that some costs incurred for eligible work performed be paid directly to the vendors who provided the goods or services.
 - Sub-grantees who request OBO Payments must complete and sign the “Request for OBO Payment” form. The Sub-grantee must submit original invoice(s) or certified copies of invoice(s) signed by the vendor to support request.
 - Any costs included in the invoice(s) deemed ineligible under the project scope of work will remain the responsibility of the Sub-grantee for payment.
 - The Sub-grantee will be required to account for all OBO Payments in addition to other eligible costs they incurred on the appropriate summary forms before final payment is made.
4. Immediate Needs Funding (INF) – This is a partial payment on emergency work items identified during the Preliminary Damage Assessment (PDA). When a PDA is conducted, only those eligible Sub-grantees who were surveyed are eligible to receive INF. If a PDA has not taken place, the State may identify eligible Sub-grantees to receive INF funding. The State may request funding for these Sub-grantees on their behalf. INF is designed to assist the Sub-grantee in dealing with its urgent needs that will require payment within the first 60 days after the declaration. It is not intended for those items that involve Special Considerations or items of work that will require longer than 60 days to complete. These items will be funded in the normal manner as individual projects. INF is calculated using the following formula:

$$\text{Emergency work up to amount} \times 50\% \times 75\% \text{ (appropriate Federal cost share)} = \text{INF (NOT FOR HIGH RISK APPLICANTS)}$$
5. Final Payments - When the work associated with each Project Worksheet is completed and the appropriate Summary and Closeout forms are submitted (with supporting cost documentation) the State will issue a Final payment. This payment is the remaining balance of grant funding for each project. Once final payment is made the State will consider the Large Project financially closed and will submit for FEMA programmatic closure.

- No Cost Overrun - If during audit, the SPAO determines the actual eligible reimbursement amount is less than the amount claimed by a Sub-grantee, an amended Statement of Documentation will be completed by the SPAO using the cost estimate found in the PW, the amount being claimed by the Sub-grantee on the original Statement of Documentation form, and the final eligible costs after the audit is conducted. The amended Statement of Documentation will then be submitted to the Sub-grantee with information regarding why the reductions were made. The Sub-grantee can then sign the amended form or submit additional supporting documentation for consideration.
 - Cost Overrun - If the Sub-grantee discovers a potential cost overrun, it must inform the state as soon as that situation is identified. The sub-grantee may only seek the additional funding by submitting a Cost Overrun Request. However, these costs must be clearly supported with accurate documentation that directly indicates they were necessary to complete the approved scope of work. Cost Over-runs will be requested and finalized as a separate process prior to project "Close-out" and SPAO will provide Sub-grantee with updated FEMA Form P.4 Project Completion and Certification Report for signature in order to proceed with any final payment and project close-out.
6. If the Sub-grantee is a State Agency, funding is provided through a Reimbursable Service Agreement (RSA) contract.
- Sub-grantees covered under an RSA contract must still provide the appropriate Summary and Closeout forms with all backup cost documentation as is required for all "Small" and "Large" Project Worksheets outlined above.
 - The SPAO will review the documentation provided for programmatic eligibility and submit the "Request for Payment" through the levels of review outlined above.
 - Any documentation provided from the Sub-grantee state agency's finance section to DHS&EM's financial support will be reviewed by the State Public Assistance Officer.
 - Payments will only be processed after RSA Executes have been entered into the Alaska State Accounting System (AKSAS).
 - If there is a discrepancy between the submitted back-up cost documentation provided by the Programmatic personnel of the State Agency and the financial documentation contained within the AKSAS. DHS&EM will notify the programmatic personal of the discrepancy and return the mismatched documentation back to the originator until all errors have been reconciled. There will not be any transfer of funds until all discrepancies have been corrected.
 - If the State determines that it is necessary to de-obligate Public Assistance grant funds appropriated for a particular Sub-grantee and project, due to non-compliance with programmatic requirements, it will be accomplished utilizing the De-obligation Checklist. This option will be activated at the discretion of the DHS&EM DAPM.

IX. Project Performance

- A. The State will utilize the following procedures when processing requests from Sub-grantees regarding "Improved" and "Alternate" Projects, Appeal Requests and Decisions, Time Extensions, and Cost Over-runs. This section also provides guidance concerning: Project Tracking, Disposition of High Cost items, High Risk grant conditions, Scope of Work changes, Contract Requirements, Force Account expenses, and Time Limitations:

1. Improved Projects: When performing restoration work on a damaged facility, a Sub-grantee may decide to use the opportunity to make improvements to the facility.
 - A Sub-grantee may request an improved project for either a small or a large project, but is limited to Category C-G projects only.
 - All improved projects must be approved by DHS&EM utilizing the Improved Project Checklist prior to starting the improved portion of the proposed work.
 - Requests for Improved Projects must be submitted to DHS&EM in writing and must contain the following:
 - A reason for requesting the improved project.
 - A description of the proposed work.
 - A schedule of work.
 - A cost estimate.
 - Information adequate to establish compliance with special requirements including, but not limited to, floodplain management, environmental assessment, protection of wetlands, endangered species, and insurance.
 - The improved facility must have the same function and at least the same capacity as that of the pre-disaster facility.
 - Exceptions to these requirements are improvements associated with required Codes and Standards as outlined in 44 CFR 206.226 (d).
 - Once the request is submitted to DHS&EM, the SPAO will review the request to ensure that all required information is contained in the request. If it is determined that there is a significant change from the pre-disaster configuration (different location, footprint or size) the State will forward the request to FEMA with a recommendation for FEMA review prior to construction to ensure completion of the appropriate environmental and/or historical review. If the request is denied, the SPAO must submit a letter to Sub-grantee informing them that their request is denied. This letter should contain information on why it was denied and the appropriate appeal procedures.
 - Funding for Improved Projects is typically limited to the estimated amount outlined in the original PW. (See Public Assistance Guide page 110-111)
2. Requests for Improved Projects will be identified by SPAO on the Monthly Status Report.
3. Alternate Projects: A Sub-grantee may determine that the public welfare is best served by not restoring a damaged facility or its function to the pre-disaster design. In this event, the Sub-grantee may use the Public Assistance grant for that facility for other capital improvement purposes.
 - A Sub-grantee may request an Alternate Project for either a small or a large project, but is limited to Category C-G projects only.
 - All alternate projects must be approved by DHS&EM utilizing the Alternate Project Checklist prior to construction.
 - Requests for Alternate Projects must be submitted to DHS&EM in writing within 12 months following the Kick-Off Meeting and must contain the following:
 - A reason for requesting an alternate project.
 - A description of the proposed work.
 - A schedule of work.
 - A cost estimate.
 - Necessary assurances to document compliance with special requirements including, but not limited to, floodplain management,

environmental assessment, protection of wetlands, endangered species and insurance.

- Alternate projects are eligible for 90 % of the approved Project Worksheet amount (includes Alaska's cost share) for eligible costs associated with repairing the damaged facility to its pre-disaster design, or the actual costs of completing the alternate project, whichever is less. The proposed alternate project may not be located in the regulatory floodway and will have to be insured if located in the 100-year floodplain. Funding may not be used for operating costs or to meet the State or local share requirement on other Public Assistance projects or projects that utilize other Federal grants. In general, they may be used for capital projects such as facilities or equipment. 406 Hazard Mitigation funds cannot be applied to an alternate project. An environmental review will be performed for all alternate projects.
 - Alternate projects for PNP Sub-grantees must be for facilities that would be eligible for assistance as outlined in the State Public Assistance Plan. Private non-profit facilities are only eligible for 75 % of the approved Federal share.
 - Once the request is submitted to DHS&EM, the SPAO will review the request to ensure that all required information is contained in the request, make a recommendation on behalf of the State and then forward the request and the State's recommendation to FEMA for a decision.
 - If the request is denied, the SPAO must submit a letter to Sub-grantee informing them that their request is denied. This letter will contain information on why it was denied and the appropriate appeal procedures.
4. Requests for Alternate Project will be identified by the SPAO on the associated Disaster Status Report.
5. Requests for Reconsideration/Appeals and Decisions: An eligible Sub-grantee may appeal any determination made by DHS&EM/FEMA relating to an application for the provisions of Public Assistance. The following conflict resolution process should be followed to expedite funding and minimize Sub-grantee appeals:
- The Sub-grantee will notify the SPAO of the unresolved issues.
 - The SPAO will attempt to resolve the issue with the Sub-grantee through an informal basis. If the issues cannot be resolved, a formal request for reconsideration from the Sub-grantee should be submitted to the SPAO. This request will be reviewed by the Public Assistance Branch Chief and Disaster Assistance Section Program Manager for potential resolution.
 - The Sub-grantee is encouraged, but not required, to follow steps 1 and 2 above before filing an appeal with the State in accordance with 44 CFR §206.206. The Appeal time limits remain in-force even if the informal process is utilized.
 - If the Sub-grantee decides not to follow the steps above, the Sub-grantee will need to make a formal appeal in writing through the GAR to the Regional Administrator of FEMA. The GAR will review, evaluate, make additional investigations as necessary and make a written recommendation on all appeals before submission to FEMA.
 - The appeal shall contain documented justification supporting the Sub-grantee's position, specifying the issue in dispute and the provisions in Federal Law, regulation or policy with which the Sub-grantee believes the initial action was unacceptable.
 - Once the appeal is received by DHS&EM, the SPAO will review the appeal and submit a fact sheet analysis of the Sub-grantees request and the basis for the action that resulted in the appeal. The SPAO will also make a recommendation

to the GAR/FEMA for the request, based on their analysis. The Public Assistance Branch Chief and Program Manager will review and provide analysis to the GAR as needed. The GAR will review all of the information provided and any additional information necessary to render a written recommendation to FEMA.

- Complex appeals may require use of subject matter experts or technical assistance in order to complete a thorough investigation or analysis. DHS&EM will work with Sub-grantees to facilitate the additional assistance when required.
 - Time limits:
 - The Sub-grantee must submit their written appeal to DHS&EM within 60 days after receipt of a notice of action that is being appealed in accordance with 44 CFR 206.206.
 - The GAR will review and forward appeals from an Sub-grantee, with a written recommendation, to the Regional Administrator of FEMA within 60 days.
 - Within 90 days following the receipt of an appeal, the Regional Administrator of FEMA will notify the State of the disposition of the appeal.
 - If appeals involve highly technical issues, the Regional Administrator of FEMA may, at his or her discretion, submit the appeal to an independent scientific, technical or legal person or group having expertise in the subject matter of the appeal for advice or recommendation. The period for this technical review may not exceed 90 days and may be in addition to the 90-day time limit for the Administrator to render a decision.
 - The disposition of the appeal, as determined by the Regional Administrator of FEMA, is considered the first Appeal. The Sub-grantee can submit a second appeal following the same procedures with the exception that it should be addressed to the Assistant Administrator of FEMA.
 - If the appeal is denied, the SPAO must submit a letter to the Sub-grantee informing them that their appeal is denied and provide a copy of FEMA Region X's determination and findings. This letter should contain information on why it was denied and the appropriate second appeal procedures.
 - If the Sub-grantee decides to appeal for a second time and that appeal is denied, it will constitute FEMA's final administrative decision in accordance with 44 CFR 206. The SPAO will submit a letter informing the Sub-grantee of the status of the second appeal, provide them with a copy of FEMA's final decision and notify the Sub-grantee that it is the final administrative decision.
- 6. Time Extensions:** The State may grant time extensions for the completion of approved work associated with all Project Worksheets.
- For Debris Removal and Emergency Protective Measures PW's, the State may on a case by case basis, grant up to an additional six months for the completion of work described in the PW. SPAO will complete the Time Extension Checklist and include it with the transmittal.

- For Permanent Work, the State may on a case by case basis, grant up to an additional 30 months for the completion of work described in the PW. SPAO will complete the Time Extension Checklist and include it with the transmittal.
- All time extension requests **must** be submitted to DHS&EM prior to the expiration of any existing deadlines. Extensions will only be considered for extraordinary circumstances that are clearly beyond the control of the sub-grantee.
- Requests by Sub-grantees for time extensions must include the following:
 - The PW number the time extension is being requested for.
 - The dates and provisions of any previous extensions granted.
 - A detailed justification for the delay and need for more time.
 - A projected completion date.
- In order for the State to consider any time extension request, the Sub-grantee must be current with all Quarterly reports and other project documentation.
- The SPAO will inform FEMA Region X Public Assistance staff of any time extensions approved by the state.
- If a Sub-grantee requests a time extension beyond the state's authority, the SPAO may process the extension up to the states limit but must submit the request to FEMA for approval for the remaining time.
 - The Time Extension Request must be submitted by the SPAO to the Regional Administrator.
 - If the state supports an extension that goes beyond an overall Disaster time limit, the disaster must be extended first. The SPAO must process a Disaster Time Extension Request through the DAPM and the GAR. This request must then be submitted along with an updated SF 424, SF 424 b and SF 424 d to the Regional Administrator.
- If DHS&EM provides an Initial Incentive Payment to Sub-grantees for their small project(s), Time Extensions must be approved by the DAPM.
- If a Sub-grantee is denied a time extension for any reason, the Sub-grantee may, upon completion of the project, be reimbursed for eligible project costs incurred only up to the latest approved completion date. If the project is not completed, no funding will be provided for the project and the State will take appropriate actions to have any funds issued to the Sub-grantee refunded back to the State.
- If the request is denied, the SPAO must submit a letter to Sub-grantee informing them that their request is denied. This letter will contain the reason(s) for denial and appeal procedures.
- All Time Extensions will be annotated by the SPAO on a Disaster Status Report. The following will provide examples of circumstances that do and do not justify approval from the State for requests for a Time Extension:
 - Approval Examples:
 - Delays caused by weather.
 - Delays caused by limited construction season.
 - Delays caused from limited barge service in a remote community.
 - Other extraordinary circumstances clearly beyond the control of the Sub-grantee.
 - Denial Examples:
 - Requests that are not supported by a detailed justification for any delays.

- Requests that are made and past Quarterly reports submitted by the Sub-grantee that do not show progress being made in a timely manner.
 - Requests made that do not include the required information outlined in (d) (iii) above.
 - Time Extensions may be denied solely on the basis of late submission
- 7. Cost Over-runs: Since the majority of PWs are based on cost estimates, there may be occasions where the Sub-grantee incurs additional expenses that exceed the cost estimate assigned to the project.
 - Large Project Cost Over-Run:
 - Sub-grantees must monitor their projects and notify the State as soon as possible if a cost over-run is anticipated. Unapproved costs may not be reimbursed.
 - Cost Over-Run requests must be in writing and contain detailed justification for the eligibility for any additional costs in order for the State to make its recommendation to FEMA. If the increase is due to additional damage, it will be necessary for the Sub-grantee to show how that damage is disaster related.
 - The Cost Over-Run request must be reviewed by the SPAO, utilizing the Large Project Cost Over-Run checklist and then forwarded to FEMA with a written recommendation that includes copies of supporting documentation submitted by the Sub-grantee and a copy of the Sub-grantee's request for a cost over-run approval
 - To determine eligibility, The SPAO will assist FEMA in working with the Sub-grantee to identify and request any additional information or documentation that may be required to render a decision.
 - SPAO will keep Disaster Grants Section informed of any major funding changes.
 - If the request is approved and funds are available, FEMA will write an amendment to the PW adjusting the cost estimate to reflect the change.
 - If the request is denied, the SPAO must submit a letter to Sub-grantee informing them that their request is denied. This letter will contain information on the denial, the amended PW, and the appropriate appeal procedures.
 - Requests for cost over-runs will be logged in the Disaster Status Report that will be completed by each SPAO.
 - Small Project Cost Over-Run:
 - Cost over-runs for Small Projects are handled differently. The Sub-grantee may request supplemental funding for a net cost over run on all small projects by submitting an appeal through the State to FEMA.
 - A Cost Over-Run Appeal for Small Projects may only be submitted when the total cost of **all** small projects significantly exceeds (\$1000) the total cost approved for all small projects.
 - The appeal must be submitted within 60 days of the completion of the last small project.
 - The appeal must include copies of actual cost documentation for all small projects.
 - The cost over-run appeal must be reviewed by the SPAO, utilizing the Net Small Project Cost Over-Run Checklist, and then forwarded to

FEMA with a written recommendation. Items that will be included with DHS&EM's written recommendation include copies of cost documentation for all Small Projects, not just the projects with an over-run. Copies of close out forms submitted to date from the Sub-grantee and a copy of the Sub-grantee's request for a cost over-run approval.

- If DHS&EM supports the appeal, the recommendation will include a request for a Net Small Project Cost Over-Run PW to be written covering any significant cost over-run amounts.
 - To determine eligibility, the SPAO will assist FEMA in working with the Sub-grantee to identify and request any additional information or documentation that may be required to render a decision.
 - If the appeal is denied, the SPAO must submit a letter to Sub-grantee informing them that their request is denied. This letter will contain the reason(s) for denial and appeal procedures.
8. Appeals for Small Project cost over-runs will be logged on the Disaster Status Report by the SPAO.
 9. Project Tracking: The SPAO will develop a tracking system to monitor each PW for the disaster. Grant monitoring visits will be conducted at least once annually for all Sub-grantees with open "Large" projects or when needed to verify performance. At a minimum a Project Status report will be completed by the SPAO and utilized to capture details on the progress of each project, the status of advances, level of completeness and category of work etc. A Quarterly Review will be conducted on each open Sub-grantee/project to ensure any issues are identified and reported to FEMA. The SPAO will complete on-site inspections for any projects as deemed necessary. The SPAO will also track insurance requirements, de-obligations and any other issues jeopardizing PW funding or completion on the Disaster Status Report. This information will be utilized to assist DHS&EM in the grant project monitoring process.

X. Project Requirements

- A. The State shall participate with FEMA during the review of Sub-grantee insurance coverage. 44 CFR, 206 Subpart I establishes requirements which apply to disaster assistance provided by FEMA prior to approval of a FEMA grant for the repair, restoration or replacement of an insurable facility or its contents damaged by a major disaster.
 1. Eligible costs shall be reduced by the amount of any insurance recovery actually received or anticipated relating to eligible costs. FEMA will base its determination of eligible costs on whether the insurance settlement is reasonable and proper.
 2. The full coverage available under the standard flood insurance policy from the National Flood Insurance Program (NFIP) will be subtracted from otherwise eligible costs for an insurable facility and its contents within the special flood hazard area. The deductible amount or damages in excess of the NFIP limits or for flood damaged items not covered by standard NFIP policy will be eligible.
 3. If eligible damages are greater than \$5,000, a Sub-grantee must obtain and maintain insurance to cover the facility for the hazard that caused the loss in the amount of the eligible damage to the facility.
 - If a facility meets the requirements of 4(a) (iii) above, DHS&EM will send, through certified mail, a letter to the Sub-grantee informing them of the requirement to obtain and maintain insurance on their facility in order to receive grant funding. Enclosed with the letter will be a copy of the Insurance Commitment Certification form.

- No funds will be made available to the Sub-grantee on current or future disasters until actual documentation is received which provides information sufficient in detail that insurance has actually been provided for the damaged facility, or extraordinary circumstances prohibit obtaining insurance and appropriate documentation to support this is provided to DHS&EM.
 - A Sub-grantee is exempt from the insurance purchase requirements for projects where the eligible damage (before any reductions) is less than \$5,000.00 or for facilities that, in the determination of the State Insurance Commissioner, the type and/or extent of insurance being required by FEMA are not reasonable (does not apply to facilities insurable under the NFIP).
 - The Sub-grantee and facility information will then be entered into DHS&EM's Insurance Tracking spreadsheet for future reference.
 - See 44 CFR 206.250-253 or pages 119-123 of the Public Assistance Guide for further information and exceptions.
4. Assistance will not be provided under Section 406 of the Stafford Act for any facility for which assistance was provided because of a previous major disaster unless all insurance required by FEMA as a condition of previous assistance has been obtained and maintained.
 5. The State will make every attempt to identify facilities with a current insurance policy in effect at the time of the disaster. This process will be initiated once a facility is identified as being damaged and covered under a disaster declaration. Sub-grantees will be required to provide all available insurance information upon request. The State will make an initial review of the insurance documents and information gathered and renders a preliminary recommendation to FEMA. The State will rely on a FEMA Insurance Specialist to make any final determinations on how the insurance may impact project funding. Sub-grantees will be required to provide the following items to the State as soon as possible:
 - Pertinent insurance information.
 - Copy of Insurance policy.
 - Statement of Loss.
 - Information on anticipated Insurance proceeds.
 - Details on any Insurance settlements.
 6. Recoupment of Federal Funds: The Sub-grantee will be notified as soon as possible if an approved PW is totally or partially de-obligated. Reimbursement by the Sub-grantee to the State will be requested once an amended PW de-obligating the approved funding is processed. If the discovery of the overpayment occurs when the disaster is still open and the funds are already drawn down from SMARTLINK, DHS&EM would reduce the next SMARTLINK drawdown by the amount overpaid to the Sub-grantee. If the disaster is closed and DHS&EM discovers an overpayment, the funds will be returned to FEMA via a warrant within 30 days of the discovery.
 7. The State will conduct periodic systems reconciliations between programs and finances in the State by comparing records found in NEMIS or EMMIE with accounting records of the State quarterly.
- B. Disposition of Equipment, Supplies, and Salvaged Materials:** The State will track and document any projects that require the purchase of equipment with a value of \$5,000.00 or more. The SPAO will ensure the requirement to purchase the equipment is noted in the PW with language that discusses the various methods such equipment can be accounted for when no longer required for the project. When the project is reported as complete by the Sub-grantee, the SPAO will request details on the disposition of the equipment and forward it to FEMA to ensure the method is adequately noted and adjustments to funding are made. Sub-grantees are responsible

to review 44 CFR 13.32 (Equipment) to ensure purchase, use, records, maintenance and disposition are in accordance with federal requirements.

- C. A Sub-grantee may be considered “High Risk” if DHS&EM determines that the Sub-grantee has a history of unsatisfactory performance, is not financially stable, has not conformed to terms and conditions of previous awards, is non-compliant with single audit requirements, is subject to a federal or state tax lien, or is otherwise not responsible.
1. If DHS&EM determines an award will be made, special conditions and/or restrictions shall correspond to the high-risk condition and shall be included in the award. Special conditions or restrictions may include but are not limited to:
 - Payment on a reimbursement basis only.
 - OBO payments only.
 - Withholding project funds pending evidence of acceptable project performance.
 - Additional project monitoring.
 - Submission of Monthly rather than Quarterly reports.
 - Requiring the Sub-grantee to obtain technical or management assistance.
 - Periodic on-site project inspections/audits.
 2. If DHS&EM decides to impose such conditions, written notification to the Sub-grantee will occur as early as possible with information regarding the nature of the special conditions/restrictions, the reason(s) for imposing them, corrective actions required for removal of restrictions and the method of requesting reconsideration of the conditions/restrictions imposed.
 3. Failure to accept special conditions may result in project closure and de-obligation of funding.
 4. Decisions to place special conditions on Sub-grantees can be appealed following the appropriate procedures outlined in this plan.
- D. Change in Scope of Work: During the performance of work on a project, a Sub-grantee may discover hidden damage or additional work that is necessary to properly complete the project.
1. Changes in the Scope of Work may result in additional environmental/historic preservation compliance reviews and/or new permits.
 2. When a change in scope is discovered, the Sub-grantee must notify the State as soon as possible. Any additional work that is being requested in addition to the original Scope of Work cannot be started until approval is granted by FEMA and included in a revised PW or the Sub-grantee risks having all associated costs deemed ineligible for reimbursement.
 3. Requests for changes in scope must include a detailed justification for the eligibility of the additional work
 4. If additional damage to the facility is involved, it will be necessary to show how that damage is disaster related.
 5. The State will review the request, utilizing the Change in Scope of Work checklist, and forward the request to FEMA with written recommendation. A copy of the Sub-grantee’s letter requesting the change will be included with DHS&EM’s written recommendation/analysis.
- E. Contract Requirements: The State will utilize the following procedures with regards to Sub-grantees who are currently utilizing or planning on utilizing contractors to complete any portions of work outlined in PW’s.
1. SPAO will review the Sub-grantees Recovery Plan to verify method of project completion and schedule.
 2. If a Sub-grantee has already awarded a contract (**or intends to**) in order to accomplish work outlined in the PW, DHS&EM will require completion of the Procurement Method Report (PMR), a copy of the Request for Proposal (RFP), contract and bid documents

that outline the Scope of Work the contractor is to complete, and a copy of the Sub-grantee's procurement policy. This is to ensure proper procurement methods were utilized, as outlined in 44 CFR §13.36.

3. If the Sub-grantee intends to utilize Non-Competitive Proposals as the procurement method, the Sub-grantee must complete and return to DHS&EM the Sole Source Checklist.
 4. See pages 51-53 of the Public Assistance Guide for information on allowable procurement methods and contract types.
 5. Payment requests will not be processed until the procurement/contract information is received.
- F. Force Account Requirements:** The State will utilize the following procedures with regards to Sub-grantees who will complete the scope of work outlined in the PW utilizing Force Account Labor, Equipment, Materials, and/or Rented Equipment.
1. SPAO will review the Sub-grantees Recovery Plan to verify method of project completion and schedule.
 2. Sub-grantees will be required to report to the State project progress on a quarterly basis using the Quarterly Report form and including information on costs, work start and end dates, percentage of work complete and any known cost under/overruns.
 3. Payment requests will not be processed until the projected construction schedule information is received.
- G. Time Limitations:** Sub-grantees must complete approved work within specified time frames from the date a major disaster or emergency is declared in order to remain eligible, those time frames are Emergency Work must be completed in 6 months and Permanent Work in 18 months.
1. Further Time Limitations: DHS&EM has established various time limits the Sub-grantee must adhere to during the Public Assistance process. These include the following:
 - Request for Public Assistance. The Sub-grantee must file a Request for Public Assistance with the State within 30 days from the date of the Federal declaration.
 - Identifying Additional Damages. The Sub-grantee has 60 days from the date of the Kick-Off Meeting to notify the State of any damages not yet reported.
 - Alternate Projects. All requests for alternate projects should be made within 12 months of the Applicant Briefing and approved by DHS&EM prior to construction.
 - Projects Identified as 100 % Complete. When a PW is identified as 100 % complete, (through Sub-grantee conversations, Quarterly reports, etc.) the Sub-grantee has 90 days to submit all appropriate Close-Out documents and cost documents as appropriate for Large and Small Projects. If a PW was 100 % complete prior to the PW being written, the Sub-grantee has 90 days to submit documentation from the date the Grant Award letter is received. Additionally, a Project Final Narrative (DHS&EM 30-102), a Statement of Documentation (DHS&EM Form 30-4) and a Project Completion and Certification Report (FEMA P.4) certifying that all work has been completed in accordance with funding approvals.
 - Appeals. The Sub-grantee must file an appeal with DHS&EM within 60 days of receipt of the notice of the action or decision being appealed.
 - Quarterly Reports. Quarterly reports are due 15 days after the quarter ends. Failure to provide quarterly reports may result in funding being withheld or withdrawn.

- Submission of state forms package (Applicant’s Grant Agreement Package). The Sub-grantee must submit all required State forms within 30 days of receiving the Applicant’s Grant Agreement Package.
 - Time Extensions. If extenuating circumstances or unusual project conditions exist, a time extension may be requested through DHS&EM. DHS&EM has the authority to extend the time frames for completion of debris removal and emergency protective measures by six months and permanent work by 30 months. Requests for time extensions must be submitted to DHS&EM prior to the assigned deadline. Any time extension requests that exceed these amounts will require FEMA approval.
 - Information for PW Formulation. Sub-grantees will have 60-days from the Kick-Off meeting to submit all of the necessary information/documentation necessary to complete the PW formulation process.
- H. Project Completion:** DHS&EM will follow the project Close-Out Standard Operating Procedure (SOP) when developed and available from FEMA. Until such time the following applies:
- 1. Large Projects.** Upon being notified by the Sub-grantee that a large project is complete, the SPAO will schedule a Final Inspection, if required. Prior to performing the Final Inspection, the SPAO must have all of the following:
 - Statement of Documentation.
 - All applicable Summary Forms and back-up cost documentation, including but not limited to:
 - Labor costs and records.
 - Fringe Benefits.
 - Personnel policies.
 - Equipment Salvage values.
 - Applicable Equipment Rates.
 - Procurement Method Report/Procedures.
 - Invoices/Receipts must include vendor screen shot from the federal SAM site (<https://www.sam.gov/portal/public/SAM/>) to verify vendor is not barred.
 - Copy of RFP(s).
 - Copy of contract(s).
 - Insurance policies and settlements.
 - Final Project Narrative.
 - Certificate of Compliance.
 - Project Completion and Certification (P-4).
 - The SPAO will audit all cost documentation and complete a Final Inspection Report (DHS&EM 30-7). The SPAO will inspect all aspects of the Scope of Work outlined in the PW and will photograph and verify work completion. If a portion of the Scope of Work has not been completed, the Sub-grantee must either complete the work or make a request through the State to FEMA to have it removed from the PW. This request must include a detailed justification of why the work was not completed.
 - If all work was verified as complete, the SPAO will fill out the Final Inspection Report, process any final payments of eligible costs, and request Project Closeout through FEMA.
 - If a large project was 100 percent complete at the time the PW was prepared, the eligible cost was based on actual cost information and the Sub-grantee is not claiming additional funding, an on-site final

inspection will not be conducted; however a final inspection report will still be generated noting this information. Subsequently the State will complete a Closeout package and submit it to FEMA.

2. Small Projects (Reimbursement Process): Documentation and close-out for these projects may be accomplished by one of several methods.
 - No Cost Overrun: For any/all small project(s) reported complete by sub-grantee with no cost overrun being requested. Sub-grantee will submit close-out forms, payment request and evidence of project completion such as photos that clearly depict the work completed or invoices and certified statements for material only projects. SPAO will complete a Final Inspection Report or Net Small Project Final Inspection, process any final payments and close out the PW. If sub-grantee provided evidence is insufficient to demonstrate project completion, SPAO will conduct an on-site inspection before proceeding with payment or close-out.
 - Statement of Documentation.
 - Final Project Narrative.
 - Certificate of Compliance.
 - Project Completion and Certification (P-4).
 - Evidence of project completion.
 - Final Inspection Report.
 - Cost Overrun: In order to request a Cost Overrun for a Small Project(s), a sub-grantee must:
 - Have completed all their Small Projects.
 - Have total actual costs to complete all Small Projects combined that exceed the total approved dollar amount for all the Small Projects by at least \$1000.
 - Submit all cost documentation and appropriate summary forms to support claimed costs.
 - Must provide a written request for the overrun with analysis supporting how costs were necessary to complete approved PW scope of work.
 - Required Close-Out Documents (Cost Overrun):
 - Statement of Documentation
 - Final Project Narrative
 - Certificate of Compliance
 - Project Completion and Certification (P-4)
 - Evidence of project completion
 - All applicable Summary Forms and back-up cost documentation, including but not limited to:
 - Labor costs and records.
 - Fringe Benefits.
 - Personnel policies.
 - Invoices/Receipts, must include vendor screen shot from the federal SAM site (<https://www.sam.gov/portal/public/SAM/>) to verify vendor is not debarred.
 - Equipment Salvage values.
 - Applicable Equipment Rates.
 - Procurement Method Report/Procedures.
 - Copy of contract(s).
 - Insurance policies and settlements.

- High Risk sub-grantee: Any sub-grantee identified as High Risk must follow the Large Project procedures for their Small Projects. Generally, all costs claimed must be accompanied by supporting cost documents, summary forms, payment request forms and close-out documents. Payments will be limited to reimbursements and On-Behalf-Of payments (No Advances or Initial Incentive Payments). These payments will be capped at the federal share (75%) of the approved PW amount until final inspection and close-out. If a portion of the scope of work is not completed, the Sub-grantee must either complete the work or make a written request through the state, to FEMA to have it removed from the PW. This request must also include a detailed justification of why the work was not completed. The SPAO will coordinate with sub-grantee to schedule a Net Small Project Final Inspection when all small projects are completed.
 - The SPAO Final Inspection may be completed by document review and photos if sufficient to demonstrate completion of the scope of work. It may also be completed by site visit if necessary to verify work completion. If a site visit is required, the SPAO should evaluate the option of a “Net” Small Project Inspection when all “Small” projects are complete to conserve travel costs.
 - When all work is verified complete, the SPAO will fill out the Final Inspection Report, process any final payments of eligible costs, and request Project Closeout through FEMA.

3. Grantee:

- Upon completion of both small and large projects, the State will send a written “Project Completion and Certification Report, P-4” to the FEMA Public Assistance Officer. Small Project certifications require that all projects were completed in accordance with FEMA approvals and the State and/or Sub-grantee’s contribution to the non-Federal share, as specified in the FEMA-State Agreement, has been executed.

Note: The small project certification is not required to specify the amount spent on projects by Sub-grantees.

- Large project certifications require that all reported costs were incurred in the performance of eligible work and that all approved project work was completed in compliance with the provisions of the FEMA-State Agreement.
- Payments for the project were made in accordance with 44 CFR §13.21.

Note: An accounting of actual eligible costs for each large project is required at project completion. An accounting of eligible cost means the total amount of actual eligible costs. If actual costs exceed the approved project grant, additional information supporting and explaining the additional claimed costs is required. (See cost over-runs above.)

XI. Records and Reports

- A. SPAO’s are responsible for grant and project management of all Sub-grantees. SPAO’s ensure projects are being completed as outlined in the PW’s scope of work, narrative and fiscal reports are timely and documentation is received for all expenditures. Sub-grantees are required to submit quarterly reports to DHS&EM 15 days after the quarter ends. Failure to provide quarterly reports will result in funds being withheld or withdrawn. Large projects have are monitored (on-site) and Final Inspections are performed and Final Inspection Reports completed by SPAO’s. Applicant’s are responsible to retain all records for three years from the Close-Out of their last Project Worksheet. State financial status reports are prepared by the

finance section and narrative reports are prepared by the SPAO for each open disaster. These reports are submitted to FEMA based on established deadlines.

1. Progress Reports – The State will submit a quarterly progress report to FEMA, which will contain the status of all large projects that have not received final payment and State Management Costs. The first quarterly report will be submitted three months from the date the JFO opened or on a quarterly schedule mutually agreed upon between FEMA and the State.
2. The Sub-grantees must begin submitting Quarterly Progress Reports (DHS&EM Form 30-60) upon receipt of Grant Award letter(s) for Project Worksheets. Quarterly reports are due 15 days after the quarter ends on April 15, July 15, September 15 and January 15. Once the quarterly report is received, the SPAO will review it to ensure it is correctly and completely filled out. If any information is missing, the SPAO will contact the Sub-grantee for revisions. Sub-grantees will submit quarterly reports until their project is 100% complete and they submit a Close-Out package including the Project Final Narrative (DHS&EM Form 30-102). Failure to provide quarterly reports may result in funding being withheld or withdrawn. Requests for advances, payments, time extensions, etc. will not be processed unless all quarterly reports have been submitted. The SPAO will inform all Sub-grantees that did not submit a quarterly report of the possible effects this may have on their grant and make an additional request for them to submit a report. If the Sub-grantee continues to not submit a quarterly report, the SPAO will follow the de-obligation procedures.
3. Federal Financial Report (FFR) (SF 425) – FFRs are prepared within 30 days after the close of a quarter. The final FFR is due within 90 days after the end of the performance period. DHS&EM will make every effort to submit a time extension request, 120-days prior to the close of the Period of Performance, when it is anticipated additional time will be required. The reconciled AFRS reports used to make Smart Link draws are used in the preparation of the reports. The accountant responsible for that grant prepares the FFR and the report is approved by the Governor’s Authorized Representative (GAR) or alternate. The Federal, and any State portion of any required match, is derived from an AFRS report. The local match, if any, is provided by PW’s. If required, an extension is attained via e-mail from the appropriate budget staff person at DHS/FEMA Region X. The State shall submit the financial reports to the FEMA regional office 30 days after the end of the first Federal quarter following the initial grant award. The State will submit financial reports to FEMA at least quarterly. Thereafter, reports are due January 30, April 30, July 30 and October 30. Federal Financial Reports must permit the tracking of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes. All federally required financial reports are prepared by the Accounts Receivable Staff. The reports are prepared by a Financial Analyst (FA) II or III, and overseen by the FA V who is responsible for that section. The Accounting Manager reviews the reports prior to being signed by the appropriate program staff.
4. Federal Cash Transaction Report – The State shall submit the Federal Cash Transaction Report (PSC 272) within 30 days following the end of each quarter. A certified copy of the PSC 272 will be faxed to the Division of Payment Management and the FEMA Grant Programs Division
5. Sub-grantee Closeout – The State will close each Sub-grantee once its Small and Large projects are closed. Small projects will be closed out individually or as a “Net” Small Project Close-Out, in accordance with 44 CFR § 206.205 (a) after the State has determined that all work has been completed, all necessary documents have been received, and any appeal for small project over-runs has been reconciled. Large projects

will be closed out individually in accordance with 44 CFR § 206.205 (b), after the State has determined that all work has been completed, all necessary documents have been received, the costs for each individual large project have been reconciled, all project payments have been made, and no further action is pending or anticipated (including litigation or lawsuits). The State will notify FEMA when all eligible funds have been paid to a Sub-grantee and request Sub-grantee closeout. When all Sub-grantees have been closed-out and all eligible Grantee funding has been reconciled (including statutory administrative costs and/or state management costs), the State will request that FEMA closeout the Public Assistance Program for the disaster.

6. Grant Closeout – After all Sub-grantees have been closed-out and all eligible Grantee funding has been reconciled the State will request that FEMA closeout the Public Assistance Program Grant for the disaster.
 - All closeout activities must occur within the approved Grant Performance period as specified on the SF424 by the State and approved by FEMA.
 - Grant Performance periods may be extended upon a written request by the state if required and approved by FEMA.
 - Sub-grantees must submit all financial and back-up documentation for closeout no later than 90 days prior to the end of the performance period. Any documentation submitted after this period may result in forfeiture of all or part of the specific sub-grant(s).
 - The State must submit all Final Financial Reports, records and closeout documentation to FEMA within the Liquidation Period (90 days after the performance period deadline).
7. The closeout of a grant does not affect:
 - The Federal agency's right to disallow costs and recover funds on the basis of a later audit or other review.
 - The Grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions.
 - Records retention as required by 44 CFR, § 13.26.
 - Property management requirements in 44 CFR § 13.31 and § 13.32.
 - Audit requirements in 44 CFR, § 13.26, and OMB Circular A-133.
8. Record Retention – The Sub-grantee will be required to keep complete records of all work (i.e. receipts, checks, job orders, contracts, equipment usage documentation and payroll information) funded under the Public Assistance Program for a minimum of three years. The start date is determined by the date FEMA acknowledges closing the Sub-grantee for the disaster. During this three-year period, all approved PW's are subject to Federal and State reviews or audits. DHS&EM will confirm by letter to Sub-grantees, of the start date for record retention period to begin. As the Grantee, the DHS&EM will retain all records obtained during the Grant Management process for three years. Information may be kept in both hard copy and electronic files for each sub-grant recipient. The start date will commence after acceptance by FEMA of the final financial transaction report and notifies the State that the Public Assistance program has been closed.
9. Real Property and Tangible Personal Property Reporting – In order to comply under subpart C of 44 C.F.R. Part 13 (Post Award Requirements), DHS&EM will submit SF-429 and SF-428 respectively when required after notification by FEMA Region X's Grants Division.

XII. Audits:

Audit requirements will be in accordance with 44 CFR part 13 and OMB Circular A-133. Grantee and Sub-grantees that expended \$500,000 or more of Federal funds in Grantee and Sub-grantee fiscal year are required to have a single audit done for that year. Single audit reports are submitted to the State's single audit coordinator, (907-465-4666). The State's single audit coordinator will distribute a copy of the single audit report to each department. The department's single audit representative will notify the division's program managers when Sub-grantee audits contain adverse findings and reportable conditions. Corrective actions will be required of Sub-grantees within a six-month time frame, or further actions will be taken.

- A.** Single audit requirement information is included in the Sub-grantee grant application and in the Assurance and Agreement document. All Sub-grantees sign acceptance of these requirements prior to receipt of approved PW's.
- B.** Sub-grantee grant management deficiencies identified through ongoing DHS&EM sub-recipient monitoring will be reported to Sub-grantee's signatory official for corrective actions. If deficiencies are not corrected, the Governor's Authorized Representative will provide formal notification to Sub-grantee of withdraw of funding for project and notification to the State's Single Audit Coordinator for potential further action.
- C.** Audit findings issued to the State through a State Legislative Audit or Federal Office of Inspector General Audit will be addressed within six months. The Governor's Authorized Representative is responsible for ensuring resolution of audit findings and corrective actions to prevent future audit deficiencies.
- D.** Financial Management
 - 1.** State and Federal expenditures and revenues are tracked within the Alaska State Accounting System (AKSAS) using numerous structures. These structures include appropriations, collocation codes, ledger codes and program codes. An appropriation number will be assigned for each disaster for each Federal and State program. Each appropriation will receive an authorization for revenue based on the State's finance plan for the disaster. A collocation code is assigned to each type of Federal program in each disaster. Each project will be assigned a program code. Program codes for projects will have an encumbrance placed based on the estimated costs of the PW. The encumbrance commits funding from the overall authorization located at the appropriation level. DHS & EM will submit request for payment for each project to the finance section. The finance section will assign the collocation code and program code. After the payment is processed from the encumbrance, a copy of financial transaction report will be provided to DHS&EM to ensure payments are made from appropriate program codes and encumbrances. The financial transaction reports are filed within each PW file. Finance section will process and submit drawdown request to the Division of Treasury after payments are made.
 - 2.** The requirements for the State to describe procedures for addressing excess cash not needed for immediate cash disbursement and for immediately returning any Federal funds that are in excess to the program needs are not applicable. The State only draws down funding when expenditures are incurred. Therefore, there will not be instances where excess cash will be available.
 - 3.** The State will return any additional Federal funds identified after closeout by issuing a warrant from the State payable to FEMA as soon as practicable after discovery. The warrant will be supported with a letter explaining the details and reasons for the return of funding.

SPAOs are responsible for grant management of all PW's. They ensure projects are being completed as outlined in the scope of work, reports are timely and documentation is received for all expenditures. Request for reimbursements from Sub-grantees on a PW are reviewed and approved by

three levels: the SPAO, the Public Assistance Branch Chief, and the Disaster Assistance Section Program Manager. The request with full documentation is then audited by the Disaster Accountant in Finance to ensure compliance and then final approval is given by the Governor's Authorized Representative prior to payment.

The State of Alaska will seek reimbursement from FEMA after the payment to the Sub-grantee is processed. No interest will be remitted to FEMA since the State of Alaska does not request Federal funds in advance.

Per 44 CFR, § 13.32(f) - The real and personal property acquired with the Federal grant funds will be maintained on inventory following State of Alaska or local procurement guidelines to include serial number, property identification tag, location, cost, date and other tracking data. A physical inventory will be conducted annually and reconciled with property records every two years to include after closing of a grant.

State or local procurement regulations will be followed when purchasing property, equipment, goods, and services. A purchase order and/or delivery order is issued and must be approved by authorized personnel. For small purchase orders (\$100,000 or less) price quotations will be obtained from an adequate number of qualified sources. Purchases above \$100,000 will be bid competitively.

FEMA will provide the Disaster Assistance Section Program Manager a statement of accounts for each disaster to be closed. After a concurrence audit, a DHS&EM Director concurrence letter will be provided to FEMA Region X who will then formally close the disaster and notify DHS&EM.

XIII. PLAN DEVELOPMENT AND MAINTENANCE

- A.** The State will annually submit a plan and amendments for each disaster for which Public Assistance is included. Revisions will be forwarded to the Regional Administrator of FEMA for approval.
- B.** The State will amend this plan whenever necessary to reflect current policy guidelines and any new or revised Federal statutes or regulations or a material change in any State law, organization, policy, or State agency operation that is relevant to the State's administration of the PA program. The State will obtain FEMA approval of the amended plan and its effective date.

APPENDIX 1

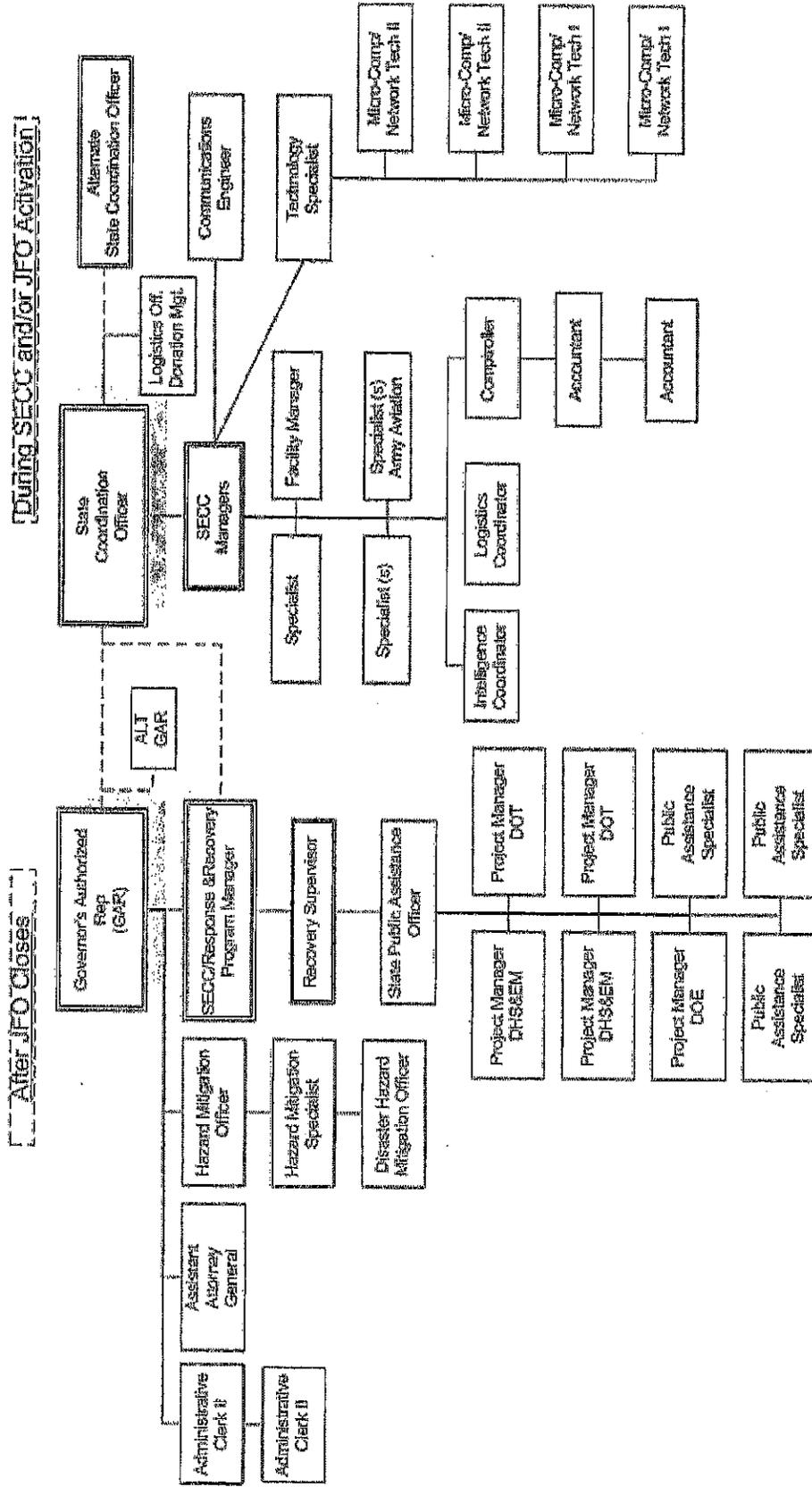
ORGANIZATION CHART

(A1-1, Response and Recovery)

(A1-2, Alaska Division of Homeland Security & Emergency Management)

Staffing for managing of the Public Assistance (PA) program is done with Full Time State staff. Only their eligible overtime will be charged to this program's administrative allowance if applicable. Temporary hires assigned to assist with the program will have their entire costs charged to the program as will any contractors hired to assist with the program. The State also employs several full time staff that are funded only for work on disasters. Their salary (regular and overtime) will be charged directly to this program when they actually perform work in the program. They are directed to track their time by half-hour segments for all activities. Eligible staff time and other costs will be explained in the Grant Management Project Worksheet. A copy of the Division's current organizational chart is attached for reference.

Department of Military and Veterans Affairs Division of Homeland Security and Emergency Management Response and Recovery



APPENDIX 2

APPLICANT'S BRIEFING




Division of Homeland Security & Emergency Management

Public Assistance Applicant Briefing

FEMA-DR- XXXX-AK
SPAO:

1




This presentation has been designed to provide:

An Overview of the Public Assistance Program

An Overview of Obtaining a Public Assistance Grant

2




Public Assistance

Supplemental (Performance Based Contingent Grant) assistance to state, local and tribal governments and certain private non-profit organizations for response and recovery in a Presidentially declared disaster or emergency.



3




The Public Assistance Process

- Disaster or Emergency Occurs
- Governor requests Federal assistance
- State and FEMA conduct Preliminary Assessment
- Presidential declaration received
- Applicant's Briefings and Kick Off meetings conducted
- Federal Assistance Request (RPA)

4



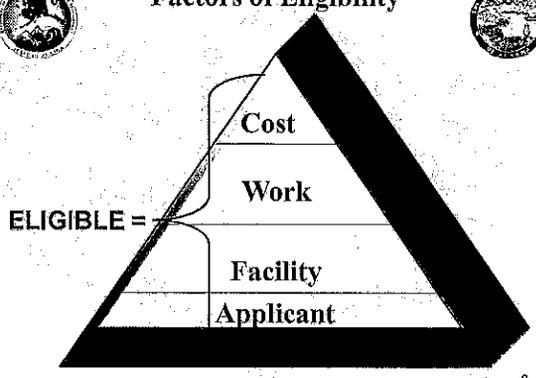

The Public Assistance Process (Con't)

- Project Worksheet formulation
- Applicant, State and FEMA review PW's
- FEMA obligates funds for PW's to the state
- Applicant works with State to obtain funds
- Complete work on projects (PW's)
- State and FEMA work with applicant to close out PW's and finalize funding (Closeout)

5




Factors of Eligibility



6



Eligible Applicants



- **State Government Agencies**
- **Local Government Agencies**
 - Towns – Cities – Boroughs - Municipalities
 - Local and Public Authorities
 - Councils of Government
 - Special Districts (Organized under State Law)
 - School Districts
 - Rural or unincorporated communities
 - Indian Tribes-Federally recognized including Alaska Native Village tribes and organizations
 - PNP Organizations that provide critical governmental services

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Eligible Applicants

- **Indian Tribes**
 - Federally recognized Indian Tribal governments, including Alaska Native villages and organizations
- **PNP Organizations that provide critical governmental services**

Eligible Private Nonprofit Entities

PNPs must:

- Be tax-exempt according to IRS
- Operate as nonprofit under State Law
- Provide services open to the general public (PNP's that provide "Critical Services" as defined in 44CFR 206.226(c)(1), do not need to be open to the general public, (i.e., educational, emergency, medical, fire, etc.))
- Be used primarily for eligible purpose

Eligible Private Nonprofit Entities

Critical Services:

- Educational
- Medical
- Fire/Emergency
- Utilities
- Custodial Care
- Other essential government services

Private Non-Profit *Non-Critical*

- The following essential facilities which provide a non-critical service are eligible for assistance with emergency work from FEMA and must first apply to SBA for assistance with permanent restoration
 - Museums
 - Libraries
 - Zoos
 - Centers for Rehabilitation, Community Art, Senior Citizens, and the Community
 - Health and Safety Services of a Governmental Nature
 - Performing Arts Facilities
 - Shelter Workshops
 - Homeless Shelters



Applicant (sub-grantee) Responsibilities



- Preparing/participating in the Preliminary Damage Assessment (PDA)
- Submitting a Request for Public Assistance
- Attending the Kick-Off Meeting
- Identifying damages that are a direct result of the disaster
- Providing information for Project Worksheet formulation
- Complete and return Grant Agreement Package
- Complete and return Grant Award Package
- Assign a Designated Applicant Agent
- Reviewing PW(s) to ensure accuracy and completeness
- Monitoring projects and reporting progress, changes ASAP
- Requesting appeals, over-runs, time ext, etc. in a timely manner
- Submit forms/docs by assigned deadlines
- Developing Disaster Recovery Plan

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Facility Eligibility Requirements



- Damaged as a result of a declared event
- Located within an area declared by the President
- The legal responsibility of an eligible Applicant
- In active use at the time of the disaster
- Not under the authority of another federal agency
- Must be maintained

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Additional Facility Eligibility



- Facilities under construction:
 - Responsibility of contractor; not eligible
 - After work accepted by applicant; eligible
- Facilities scheduled for replacement:
 - (within 12 Months):
 - Using other Federal funds; not eligible
 - Under contract at the time of disaster; not eligible

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Work Eligibility Req



- Must be required as a direct result of the declared disaster (Damage caused during the performance of eligible work may be eligible.)
- Must be performed in the designated disaster area
- Must be the legal responsibility of an eligible applicant
- Cannot be required due to negligence
- Cannot be deemed as regular maintenance

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Three General Types of Work:



- Emergency Work
 - Category A - Debris Removal
 - Category B - Emergency Protective Measures
- Permanent Work
 - Category C - Roads and Bridges
 - Category D - Water Control Facilities
 - Category E - Buildings and Equipment
 - Category F - Utilities
 - Category G - Parks, Recreational Areas and other Facilities

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Emergency Work Category A



- Eliminate immediate threat to life, health and safety.
- Eliminate immediate threat to improved property.
- Ensure economic recovery of the community and provide a benefit for the community-at-large.

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Emergency Protective Measures Category B



- Eliminate or reduce an immediate threat to life, public health or safety.
- Eliminate or reduce an immediate hazard that threatens significant damage to improved public or private property.

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Emergency Protective Measures

- **Examples:**
 - Warning devices (barricades, signs, etc.)
 - Search and Rescue
 - Provisions for shelters or emergency care
 - Sandbagging
 - Provision for food, water, ice, and other essential needs
 - Emergency Repairs
 - Construction of emergency protective measures
 - Activating an EOC

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Permanent Work

- Cat C Roads and Bridges
- Cat D Water Control Facilities
- Cat E Public Bldgs/Equipment
- Cat F Public Utilities
- Cat G Parks, Recreation and Other facilities



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Roads & Bridges Category C

Repair/Replacement of roads, bridges, culverts, etc.

NOTE: Federal- Aid Roads, streets, and highways are ineligible

Water Control Facilities Category D

- Includes repair or replacement of:
 - Dams
 - Levees
 - Drainage Channels
 - Shore Protective Devices
 - Pumping Facilities

Buildings & Equipment Category E

Includes:

- Buildings / Contents
- Equipment (all types including vehicles)
- Less any insurance

Utilities Category F

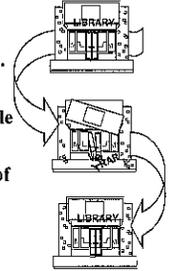
- Repair / Replace disaster related damage to predisaster function
- Increases in operating expenses, even if they are a result of the disaster, are not eligible

Parks, Recreational and Other Category G

- Buildings, roads, utilities, etc. located in parks or in similar areas
- Playground equipment, swimming pools, tennis courts, etc. are also eligible
- Structured beaches that meet a certain criteria are eligible

Eligible Permanent Work

- Repair, restore or replace damaged facilities in accordance with regulations.
- Restore to pre-disaster design, capacity & function in accordance with applicable codes and standards.
- The work must be required as a result of the disaster.
- May include cost effective hazard mitigation measures.



Cost Eligibility Requirements

- ✓ Reasonable and necessary cost to accomplish eligible work.
- ✓ Compliant with Federal, State, and local requirements for competitive procurement.
- ✓ Insurance, salvage value, cash donations and purchase discounts must be deducted.

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Reasonable Cost Determination

- A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person in the absence of FEMA/State funding.
- Reasonable costs can be established through:
 - Historical documentation for similar work
 - Average costs for similar work in the area
 - Published unit costs from national cost estimating databases
 - FEMA cost codes, equipment rates, and engineering/design services curves

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Eligible Direct Costs

- Salaries, wages and fringe benefits (for *emergency work*, only overtime including fringe benefits is eligible for permanent employees).
- Materials
- Applicant owned equipment. (FEMA Rates Apply unless FEMA approves applicants rates. Rates must be in writing.)
- Rented equipment
- Contract costs incurred for eligible work, including engineering/design services.

Eligible Direct Costs

- Engineering and Design Services – Cost of basic E and D services on complex construction projects. Services include:
 - Preliminary engineering analysis
 - Preliminary design
 - Final design
 - Construction inspection
- Special Services – Surveys, soil investigations, feasibility studies
- Project and Construction Management
- Project Supervision and Direct Grant Administration Costs

Permits

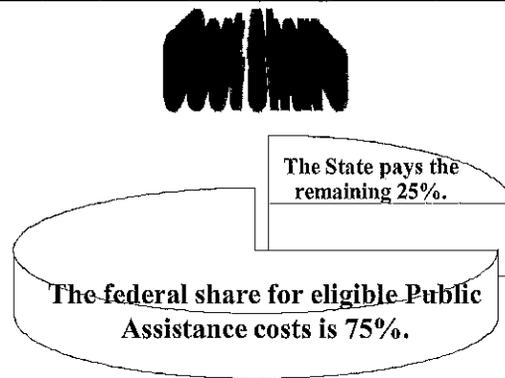
- Applicants are responsible for obtaining all required permits in accordance with local, State, or Federal regulations.
- You risk losing Federal (FEMA) and State grant funding if work is completed without obtaining proper documents, i.e. permits.
- Applicants must certify that all required permits were obtained.

Force Account Labor

- Overtime costs are only eligible (if it is an established policy to pay overtime)
- If compensatory time is usually given to replace overtime, then FEMA reimbursement will be based on that policy
- Fringe benefit rates are eligible for reimbursement (normally regular rates and OT rates are different)
- Temporary hires are eligible for regular and overtime costs (must be used for disaster assistance only)

Force Account Equipment

- Equipment is eligible for regular time and overtime
- Standby time is ineligible
- Hourly costs for trucks, back-hoes, etc.
- Mileage costs for automobiles, crew cabs, etc.
- Must use FEMA cost codes or your own costs codes, whichever is less



Materials

- Material costs are eligible
- Keep invoices and/or purchase orders
- Keep all canceled checks
- Keep record of any inventory used from stock
- Maintenance or up-keep items (ie. Oil, gasoline) are not eligible

Ineligible Costs

- Loss of revenue
- Increased Operating cost
(However, short term additional costs directly related to accomplishing specific emergency, health, and safety tasks as part of eligible emergency protective measures may be eligible).
- Surveys for damage
(However, if disaster related damage is found during the survey, the costs associated with the survey of the damaged section may be eligible).



Infrastructure Restoration Options



- Repair the facility to current codes and standards. (Repair)
- Repair the facility and include FEMA-funded hazard mitigation measures. (Repair)
- Pay for improvements yourself as you repair the facility either on its current site or at a new location. (Improved Project)
- Repair the facility to a code or standard that exceeds FEMA-approved codes and standards. (Improved Project)
- Replace the facility because it is damaged beyond repair. (Replacement)
- Relocate the facility out of a floodplain. (Replacement)
- Build a large facility to replace several damaged facilities in separate locations. (Improved Project)
- Do not repair a damaged facility that is no longer needed and use the funds for other purposes. (Alternate Project)
- Use some of the Public Assistance funds to make the damaged facility safe and secure (repairing it later on your own), and use the balance for other eligible projects. (Alternate Project)

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Repair vs. Replace 50% rule



- 50 Percent Rule
- If the repair cost divided by the replacement cost is less than 0.5, then only the repair cost is eligible.
- If the repair cost divided by the replacement cost is more than or equal to 0.5, then the replacement cost is eligible.

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Improved Projects



- An improved project may be requested for both small and large projects, but must be approved by the state prior to construction.
- Any project that results in a significant change from the pre-disaster configuration (that is, different location, footprint, function, or size) must be reviewed by FEMA prior to construction to ensure completion of the appropriate environmental and/or historical review(s).
- FEMA funding could be jeopardized for the entire project if FEMA is not notified of these changes prior to construction.

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Improved Projects

Applicants performing restoration work on a damaged facility may use the opportunity to make additional improvements while still restoring the facility to its pre-disaster function and use.

- For example, an Applicant might propose laying asphalt on a gravel road or replacing a firehouse that originally had two bays with one that has three. Projects that incorporate such improvements are called *Improved Projects*.
- For the most part, these are projects in which the funding for approved work cannot be tracked within the improved project because of physical changes or contracting arrangements.

Improved Projects

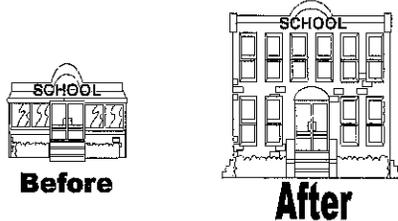
- Funds to construct the improved project can be combined with a grant from another Federal agency; however, Federal grants cannot be used to meet the grantee or local cost-share requirement.
- If the original facility is being repaired and improvements are being added, Section 406 Hazard Mitigation funding may be applied to the damaged element of the original facility. If the improved project involves a new facility on the same site or on a different site, Section 406 Hazard Mitigation funding will not be applied to that project.

Improved Projects

- Federal funding for improved projects is limited to the Federal share of the estimated costs (traditionally 75%) and to the time limits (18 months) that would be associated with repairing the damaged facility to its pre-disaster design.
- Justified time extensions may be approved.
- The balance of the funds is a non-Federal responsibility.

Improved Projects Summary

With FEMA/state approval the applicant may restore pre-disaster function and even make improvements (for which the applicant is financially responsible).



Alternate Projects



- Occasionally an Applicant may determine that the public welfare would not be best served by restoring a damaged facility or its function to the pre-disaster design. This usually occurs when the service provided by the facility is no longer needed, although the facility was still in use at the time of the disaster. Under these circumstances, the Applicant may apply to FEMA to use the eligible funds for an Alternate Project.

- Possible alternate projects include:

- Repair or expansion of other public facilities
- Construction of new public facilities
- Purchase of capital equipment
- Funding of hazard mitigation measures in the area affected by the disaster

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Alternate Projects

- The alternate project option may be proposed for both small and large projects, but only for permanent restoration projects located within the declared disaster area. All requests for alternate projects must be made within 12 months of the "Kickoff Meeting" and approved by FEMA prior to construction.
- Alternate projects are eligible for 90% of the approved Federal Share of the estimated eligible costs associated with repairing the damaged facility to its pre-disaster design, or the actual costs of completing the alternate project, whichever is less.

Alternate Projects

- Funding may not be used for operating costs or to meet the State or local share requirement on other public assistance projects or projects that utilize other Federal Grants.
- 406 Hazard Mitigation funds cannot be applied to an alternate project (see Hazard Mitigation, Section 406). An environmental review will be performed for all alternate projects.

Alternate Projects

- This 90% does not apply to Private Nonprofit facilities, which are still at 75%.
- ***Insurance is required for the new project in accordance with Section 311 of the Stafford Act.

Alternate Projects Summary

Funds used for a project other than repair of the damaged structure:

Must receive FEMA prior approval.

An Environmental Assessment review will be performed. Funding for an alternate project is 90% of the federal share of the approved estimate. (75% for Private Non-Profits)






Small Project or Large Project?



For fiscal year 2012
Minimum project funding: \$1,000.

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Small and Large Projects

<h3>Small Projects</h3> <p>An estimate is prepared by FEMA.</p> <p>Approval and funding will be based upon estimated costs.</p>	<h3>Large Projects</h3> <p>Approval and funding based on actual costs</p>
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Project Worksheets (Subgrant Applications)

- Project Worksheets are primary form for documenting damage info
- Contain info necessary for FEMA to approve project funding
- I. Damage description
- II. Scope of Work
- III. Cost Estimates
- FEMA will assign project specialist to prepare Project Worksheets
- Developed by Category and written functionally as work is to be done
- Subgrantee's must review for accuracy and concur with signature to finalize

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Project Worksheet (PW)

- **Scope of Work**
 - Most important part of the PW
 - Description of work needed to remove debris, conduct emergency response repairs, or repair/replace the facility to pre-disaster condition
 - ID "work completed" & "Work to be completed"
 - Description of special considerations (insurance, historical, environmental etc.) that affect SOW
 - Description of work that will restore the facility beyond its pre-disaster design, function, capacity
 - Description of basis for cost estimate. Force Acct Labor, for example, and how cost determined.
 - Must be checked for accuracy

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Special Considerations

Hazard Mitigation

Hazard Mitigation opportunities usually present themselves at sites where damages are repetitive and simple measures will solve the problem.

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Special Considerations cont.

Environmental Requirements

When providing assistance under the Stafford Act, FEMA must comply with applicable Federal environmental laws and their implementing regulations and Executive Orders.

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Special Considerations cont.



Insurance Requirements

- FEMA cannot provide disaster assistance (for either emergency or perm work) if damages covered by insurance. File a claim with your carrier as soon as possible after the disaster.
- FEMA requires you to obtain and maintain insurance on facilities repaired/replaced with FEMA funding.

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Insurance cont.



- For general property insurance (FEMA term to describe all perils except for flood), FEMA will apply a reduction based on the statement of loss, if received, to reduce the eligible amount of funding by the amount of the actual insurance proceeds.

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Special Considerations cont.



Historic Preservation & Cultural Resources

FEMA must ensure the following steps are accomplished before funding:

- Determination of the Area of Potential Effects
- Identification of historic properties
- Evaluation of the effects of the proposed projects on historic properties
- Resolution of adverse effects on historic properties
- Consult with State Historic Preservation Office (SHPO) or Tribal Historic Preservation Office

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Special Considerations cont.



Special Flood Hazard Areas

For flood damages that occur within a Special Flood Hazard Area (SFHA) see Appendix B of the Public Assistance Applicant Handbook (FEMA P-323)

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Project Worksheets

Establishing your costs



- PW costs relate to eligible work completed or projected to satisfy approved projects:
 - Labor (Force Account/Temporary Hires)
 - Material (Stock or purchased items)
 - Equipment (Force Account/Rental)
 - Contracts (must comply with state/fed procurement requirements to be eligible)
- Must be Reasonable and Necessary to accomplish the work

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Project Worksheets

Establishing your costs (cont.)



- LABOR
 - Emergency Work-Over time only
 - Permanent Work-Regular and Over time
 - Temporary Hires-Regular and Over time
- MATERIALS
 - Material you purchase /draw from stock (includes resocking labor and freight)
- EQUIPMENT
 - Force Account (your own) or Rented
 - Rates = FEMA rates or owner rates, whichever is less
- CONTRACTS
 - Generally require Full and Open competition
 - No Cost Plus or "Piggybacking"
 - Time and Materials should be avoided

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Contracts

• DO NOT USE:

- **Debarred Contractors** (Contractors who were found to be in non-compliance with prevailing wage law or contractor registration law.)
- **Cost Plus a percentage of costs Contracts**
- **Contingency Contracts** (Contingent upon federal funding)
- **Time & Materials Contracts after the first 70 hours**

Acceptable Types of Contracts

- Lump Sum
- Unit Price
- Cost Plus Fixed Fee



AVOID

Time and Materials contracts after first 70 hours of work

NO

Suspended, Debarred Contractors
Cost Plus Percentage of Costs Contracts

Procurement Methods

FEMA finds these methods acceptable:

- **Small Purchase Procedures**
 - Informal, several price quotes, less than \$100,000
- **Sealed Bids**
 - Formal, advertised, lowest responsive bidder
- **Competitive Proposals**
 - Formal, similar to sealed bid, award based on contractor qualifications
- **Non-Competitive Proposals**
 - Used when previous methods unsuccessful. Single source, limited circumstances, legal under applicable code



Contracts

- FEMA provides reimbursement for three (3) types of contracts:

- **Lump Sum Contracts** - Work within a prescribed boundary with a clearly defined scope of work and a total price.
- **Unit Price Contracts** - Work done on an item by item basis with costs determined per unit.
- **Cost Plus fixed fee Contract** - Either lump sum or unit price contracts with a fixed contractor fee added to the price.

Contracts

- Time and Materials Contracts should be avoided. They may only be allowed when deemed necessary; immediately after a disaster; and only when a clear scope of work cannot be determined.

- Applicant **MUST** carefully monitor contractor expenses
- A "not to exceed" provision must be included
- **Cost plus a percentage of cost contracts are NOT eligible.**

Contracts

- Detailed requirements for eligible procurement methods and contract types can be found in 44 CFR Part 13 - *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.*
- Contact your State Public Assistance Officer to ensure each type of contract will be in compliance with the scope of eligible work and procurement/contract requirements.

Contracts and Procurement

- Reasonable Cost
- Generally Competitively Bid
- Must Comply With Standards
 - Federal (44CFR Part 13)
 - State (as applicable)
 - Local (own adopted code/policy)



Contracts Summary

- Contracts must be of reasonable cost, generally must be competitively bid, and must comply with Federal, State, and Local procurement standards:
 - Small Purchase Procurement (under \$100,000.00)
 - Sealed bids (this method is the preferred method for procuring construction contracts)
 - Competitive proposals (this method is used for procuring architectural or engineering professional services)
 - Non-Competitive proposals (needs to be justified)

AVOID

Time and Materials contracts after first 70 hours of work

NO

Suspended, Debarred Contractors Cost Plus Percentage of Costs Contracts



How can I help get my project worksheets written quickly?



- Identify ALL your damage to FEMA/State
- Make your cost estimates as inclusive as possible
- Identify all Special Considerations (insurance, mitigation, environmental, historic issues and Flood plain/NIFP)
- Apply proper procurement methods (state and fed)
- Monitor and document ALL work
- Ensure your cost records are organized and complete
- Have any alternative repairs scoped and estimated

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How can I help get my project worksheets written quickly? (cont.)



Versions/Amendments/Changes

Project Worksheets should be written with the most accurate info available at the time and reviewed and agreed to by the applicant.

- Changes (versions/amendments) are possible but time consuming and difficult
- Small Projects – generally only when ALL are complete
- Large Projects – upon discovery for scope, cost etc.
- Must be requested ASAP and supported by the applicant with state concurrence

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What are the Timelines?



- | | | |
|------------------------------|-------|---------------------|
| • Start date | | Date of declaration |
| • Debris removal | | 6 months |
| • Emergency work | .. | 6 months |
| • Permanent work | ... | 18 months |
| • Identify additional damage | ... | 60 days |

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Other Time Limits

- Advance Funds – 30 days to expend from receipt (Large Projects Only)
- Alternate Projects – Within 12 months from disaster declaration
- Projects 100% Complete – 90 days to provide all cost documentation
- Appeals – 60 days from date of notification of denial
- Quarterly Reports – 20 days after the end of the established Quarter
- State Forms Package – 30 days from receipt
- Time Extensions can be granted if requested prior to deadline

Changes in Scope of Work and Cost

- During the performance of work on all project worksheets, the applicant may discover
 - hidden damage, additional work that is necessary
 - certain costs are higher than those used for the original estimate for the PW, work schedule delays that may increase costs
 - When a change in scope or additional funding is needed, the applicant needs to call DHS&EM as soon as possible.

Changes in Scope of Work and Cost

- For ALL PROJECTS, if the footprint, environmental or historical issues arise, call us immediately. If you do not, you risk jeopardizing funding for the project.
- Do not assume that such costs can be reported at the end of the project and that the additional funding will be approved automatically.
- The request should contain justification for the eligibility of the additional work or costs. If additional damage to the facility is involved, it may be necessary to show how that damage is disaster-related.
- Be aware: Policy deadlines may exclude late reported damages.

Changes in Scope of Work and Cost

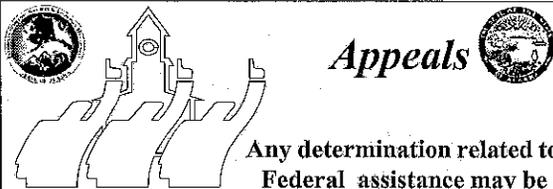
- The State will forward the request to FEMA with a written recommendation.
- To determine eligibility, FEMA and the State, in cooperation with the local representatives, may conduct a site visit.
- FEMA will render a decision and notify the State either with an amended PW for additional funding or a written denial of the request.

Changes in Scope of Work and Cost

- Small projects are handled differently
- Cost overruns are not handled on a project-by-project basis; rather, the applicant may request supplemental funding for a net cost overrun on all small projects by submitting an appeal through the State to FEMA.
- An appeal should be submitted only when the total costs for all small projects significantly exceed the total cost approved for all small projects.

Changes in Scope of Work and Cost

- The appeal must be submitted within 60 days of the completion of all of that applicant's small projects.
- The appeal must include documentation of actual costs of all the projects. Including projects with underruns as well as those with overruns.
- Except when an appeal is to be submitted, all cost documentation for small projects does not need to be submitted to the state.
- The State will certify that all work was completed in accordance with the approved PW's.



Appeals

Any determination related to Federal assistance may be appealed.

- Appeal process allows you to request reconsideration of decisions regarding the provision of assistance.
- The time limit for appeal submission is 60 days from receipt of notice of the action being appealed.

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Documentation

- You are responsible for establishing and maintaining accurate records of events and expenditures related to disaster recovery work for 3 years.
- Records that demonstrate threat presence
- Drawings, sketches, photos of pre-disaster design
- Drawings, photos of disaster related damages
- Calculations detailing specific dimensions and quantities of damage

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Documentation cont.

- Force Acct Labor records-payroll, timesheets
- Temp Hire records-reasons hired, timesheets
- Fringe Benefit calculations
- Force Acct equipment use, rate schedules
- Materials records from inventory
- Rental lease agreements
- Photos of sites, damages and repairs
- Site location maps, flood insurance info
- Flood insurance rate maps
- Facility Maintenance Records

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Documentation cont.

- Engineering/tech reports. Geotech reports.
- Codes and standards governing repairs
- Insurance information
- Contracts or contractor bids
- Permits
- Invoices/warrants/checks

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Summary Forms

LABOR SUMMARY RECORD					
EMPLOYER	PROJECT	PROJECT NO.	DATE	DISASTER	
LOCATION/SITE	PAYROLL	PROJECT NO.	PERIOD COVERED	MOB.	TO
PERIOD COVERED (MONTHS)					

- Important information on the top of the Application

- 1) Name of the Applicant: Enter the name of the eligible applicant.
- 2) Location: Enter the location of the work performed.
- 3) Description of Work: Describe exact work performed. For example: Hauled an estimated 40 appliances to the barge landing which were shipped out by barge, etc. Job that needs to be performed is indicated on the Project Work Sheet
- 4) Page Of: Please enter number of pages Applicant some times has more than 1 page of Labor Summary Record, for example: page 1 of 3.
- 5) Project NO: PW # (this information can be obtained from the Project Work Sheet).
- 6) Category : A , B , C, D, E, F this information can be obtained from Project Work Sheet.
- 7) Disaster: The FEMA Disaster Number, Name of the Disaster. This information can be obtained from Project Work Sheet. For example: DR-1843-AK.
- 8) Period Covering: Please enter dates that indicate work period.

Summary Form cont.

NAME	Type of Employee (Permanent, Temporary, Seasonal)	Type of Work (Regular or Administrative)
		Project
JOB TITLE		Administrative

- Important Information Middle Section of the Application (Left Corner)

- 1) Name, Job Title: Please enter name of the employee and job title, please make it legible (Mr. X, Loader Operator).
- 2) Type of Employee: Permanent Employee (Employee that is a part of staff and on payroll). Temporary Employee (Hired for the short period of time to perform specific job).
- 3) Type of Work (Regular or Administrative): Project -Work performed by employee on the project, for example to operate specific equipment. Administrative -Work performed to support project by filling out documentation, payroll , etc.

Labor Summary cont.

Date	Date and Hours Worked (Reg. O.T.)			Rate			CHS&P (Per Last 48 Hrs)
	Hours	Hourly Rate	Benefits Rate per Hour	Total Hourly Rate	Cost		
REG	0.00		\$ -	\$ -			
O.T.	0.00		\$ -	\$ -			

- Important Information on the Application

- 1) Date: Enter dates that employee worked.
- 2) Reg. O.T.: Enter Regular or Overtime Hours worked by employee.
- 3) Hours: For example, employee worked 3 hours, enter 3.
- 4) Hourly Rate: For example, employee hourly rate is \$15.00, enter \$15.00.
- 5) Benefit Rate Per Hour: For example, Employer pays 25% of benefits to Employee (Medical Insurance, etc.) Hourly Rate \$15.00 X 25% = \$3.75. Enter \$3.75.
- 6) Total Hourly Rate: \$15.00 + \$3.75 (Benefit Rate) = \$18.75., enter \$18.75.

Labor Summary Cont.

APPLICANT	PROJECT NO.	DATE USED
LOCATION	DESCRIPTION	QUANTITY
CATEGORY	UNIT PRICE	TOTAL COST

- **Important Information on the Labor Summary Record**
 - **All Costs Indicated below have to be separated**
- 1) Administrative Labor Regular Time
 - 2) Administrative Labor Overtime
 - 3) Project Labor Regular Time
 - 4) Project Overtime
 - 5) Total Cost for Labor
- Document needs to be signed, dated and name of the certifier printed
- 1) Certifier's Printed Name and Title
 - 2) Certifier's Signature
 - 3) Date

Material Summary Form

APPLICANT	PROJECT NO.	DATE USED
LOCATION	DESCRIPTION	QUANTITY
CATEGORY	UNIT PRICE	TOTAL COST

- **Important Information**
- 1) Name of the Applicant: Community
 - 2) Location: Street
 - 3) Description of Work: Describe exact work performed. For example, Hauled an estimated 40 appliances to the barge landing which were shipped out by barge, etc. Job that needs to be performed is indicated on the Project Work Sheet.
 - 4) Page Of: Enter number of pages (some times Applicant has more than 1 page of Labor Summary Record) page 1 of 3.
 - 5) Project NO: PW # (this information can be obtained form Project Work Sheet).
 - 6) Category : A , B , C , D , E , F (this Information can be obtained from Project Work Sheet).
 - 7) Disaster: The Name of the Disaster (this information can be obtained from Project Work Sheet). DR-1843-AK.
 - 8) Period Covering: Enter dates that indicated on this page in the section " Date Used".

Material Summary Cont

Vendor	Description	Material Used for	Unit Price	Date Used	Quantity	Unit Price	Total Cost	Quantity	Unit Price	Total Cost

- **Important Information on the Application**
- 1) Vendor: Gas Company
 - 2) Description: Gas for the operating vehicles for project.
 - 3) Material Used For: Project or Administrative type of work.
 - 4) Date Purchased: For example, date the gas for operating vehicles was purchased 7/18/2010.
 - 5) Date Used: Enter dates gas was used to operate vehicles. For example, 7/18-7/30/2010.
 - 6) Information From (Check One) Invoice /Stock: Enter the source (document) this information was obtained from . For example, Vendor's Invoices, or Gas was on hand in the community.
 - 7) Quantity: Enter the amount of gas purchased. For example 5 gallons.
 - 8) Unit Price: Enter unit price. For example, \$15.00/gallon.
 - 9) Cost: Please enter total cost. For example, 5 gallons X \$15.00=\$75.00. Enter \$75.00.

Material Summary cont.

APPLICANT	PROJECT NO.	DATE USED
LOCATION	DESCRIPTION	QUANTITY
CATEGORY	UNIT PRICE	TOTAL COST

- **Important Information on the Application**
 - **All Costs Indicated below have to be separated**
- Line 1 -Material Used for Project
Line 2- Material Used for Administrative Part of the Project
Line 3 -Total Cost Of Materials
- Document needs to be signed, dated and name of the certifier printed
- 1) Certifier's printed name and title
 - 2) Certifier's Signature
 - 3) Date

Rented Equip Summary Form

APPLICANT	PROJECT NO.	DATE USED
LOCATION	DESCRIPTION	QUANTITY
CATEGORY	UNIT PRICE	TOTAL COST

- **Important Information on the top of the Application**
- 1) Name of the Applicant: Community
 - 2) Location: Street
 - 3) Description of Work: Describe exact work performed. For example, Hauled an estimated 40 appliances to the barge landing which were shipped out by barge, etc. Job that needs to be performed is indicated on the Project Work Sheet.
 - 4) Page Of: Enter number of pages (Applicant some times has more than 1 page of Labor Summary Record) page 1 of 3.

Rented Equip Summary Cont.

- 1) Project NO: PW # (this information can be obtained from Project Work Sheet).
- 2) Category : A , B , C , D , E , F (this information can be obtained from Project Work Sheet).
- 3) Disaster: The Name of the Disaster (this information can be obtained from Project Work Sheet). DR-1843-AK.
- 4) Period Covering: Enter dates that indicated on this page in the section " Dates Used".

Rented Equip Summary Cont.

Vendor	Equipment Used For	TYPE OF EQUIPMENT	
		Indicate size, Capacity, Horsepower, Make and Model as Appropriate	
	<input type="checkbox"/> Project <input type="checkbox"/> Administrative		

- **Important information on the Application (Left Corner)**
- 1) Vendor: enter name of the company you are renting equipment from.
- 2) Equipment Used For: **Project** – Rented equipment used directly for the project. For example, to grade the road. **Administrative** –Rented equipment used for Administrative part of the project to manage it. For example, to rent the computer, to deliver documents ,etc.
- 3) Type of Equipment: Please Indicate size ,capacity, horsepower, make and model.

Rented Equip Summary Cont.

Invoice Number	Dates Used	Hours Used	Rate per Hour / Mile		Cost	DISSENT use only (Final costs after audit)
			With Operator	Without Operator		
			\$ -	\$ -	\$ -	

- **Important Information**
- 1) Invoice: enter Rented Company Invoice number
- 2) Dates Used: Please Indicate exact dates rental equipment was used. For example: 5/14/2009.
- 3) Hours Used: Indicate time frame/ hours rented equipment was in use. For example, 17:00 – 21:00.
- 4) Rate per Hour/Mile: With Operator/ Without Operator: Sometimes Rental Company provides equipment with the operator. Sometimes without an Operator. Enter prices per Rental Agreement Contract. Depending on the situation you will enter cost in one of the columns. For example, \$90.00 /hour with operator.
- 5) Cost: Please Enter cost. For example, \$90.00.

Rented Equip Summary Cont.

RENTED EQUIPMENT FOR ADMINISTRATIVE USE _____ \$ _____ RENTED EQUIPMENT FOR PROJECT USE _____ \$ _____ RENTED EQUIPMENT TOTAL _____ \$ _____	TOTAL COST \$ _____
--	---------------------

I HEREBY CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM FINANCIAL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR REVIEW.

Contractor's Printed Name and Title _____
 Certifier's Signature _____ Date _____

- **Important information on the Application**
- **All costs indicated below have to be separated**
- Rented Equipment for Administrative Use _____
- Rented Equipment for Project Use _____
- Rented Equipment Total _____
- Document needs to be signed, dated and name of the certifier printed.
- 1) Certifier's printed name and title
- 2) Certifier's Signature
- 3) Date

Contract Summary form

APPLICANT	PROJECT NO.	DATE	PAGE NO.
Project Name	Contract No.	Contract Date	Contract Value

- **Important Information**
- 1) Name of the Applicant: Community
- 2) Location: Street
- 3) Description of Work: Describe exact work performed. For example, Hauled an estimated 40 appliances to the barge landing which were shipped out by barge, etc.. Job that needs to be performed is indicated on the Project Work Sheet.
- 4) Page Of: Enter number of pages (some times Applicant has more than 1 page of Labor Summary Record) page 1 of 3.

Contract Work Summary

- 1) Project NO: PW #(this information can be obtained from the Project Work Sheet).
- 2) Category : A , B, C, D, E, F this information can be obtained from Project Work Sheet).
- 3) Disaster: The Name of the Disaster (this information can be obtained from Project Work Sheet). DR-1843-AK.
- 4) Period Covering: Enter dates that indicated on this page in the section " Dates and hours worked each week".

Contract Work Summary Cont

Dates Worked	Contractor	Contract Used For
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative

- **Important Information on the Application (Left Corner)**
- 1) Dates Worked: Enter dates the contracted company worked. For example, 5/19/-6/15/09.
- 2) Contractor: Enter name of the company that was contracted to perform the job.
- 3) Contractor used For: **Project** – Contractor hired to perform duties for the project. For example: to grade the road, to repair building, etc. **Administrative** – Contractor hired to perform duties of managing project. For example, to administer payroll, filling, etc.

Contract Work Summary Cont.

Procurement Method (Ex - Sealed Bids, Competitive, Non-Competitive Proposals etc.)	Type of Contract (Ex - Lump Sum, Unit Price, Purchase Order, etc.)	Billing or Invoice Number
---	---	---------------------------

- **Important Information on the Application (Right Corner)**
- 1) Procurement Method: There are 4 methods of procurement (OBTAINING or ENQUIRING) contracts.
- **Small purchase procedures:** An informal method for securing services or supplies that do not cost more than \$100,000.00 by obtaining several price quotes from different sources.
- **Sealed bids:** A formal method where bids are publicly advertised and solicited, and the contract is awarded to the responsive bidder whose proposal is the lowest in price (this method is the preferred method for procuring construction contracts).

Contract Work Summary cont.

- **Competitive proposals:** A method similar to sealed bid procurement in which contracts are awarded on the basis of contractor qualifications instead of price (this method is used for procuring architectural or engineering professional services).
- **Non-Competitive proposals:** A method whereby a proposal is received from only one source, because the item is available only from a single source; there is an emergency requirement that will not permit delay; FEMA authorizes a noncompetitive proposal; or solicitation has been attempted and the competition is inadequate.

Contract Summary form cont.

Cost	DHS&EM USE ONLY (Final costs after audit)
------	---

- **Important Information on the Application (Right Corner)**
- 1) Cost: Indicate cost. This information should be obtained from billing documents, invoices from the contractor.

Contract Work Summary cont.

Contract for Administrative Use	Date
Contract for Project Use	Date
Contract Total	Date

- **Important Information on the Contract Work Summary Record**
- **All costs indicated below has to be separated.**
- Contract for Administrative Use
- Contract for Project Use
- Contract Total
- Document needs to be signed, dated and name of the certifier printed.
- 1) Certifier's printed name and title
- 2) Certifier's Signature
- 3) Date

Force Acct Equipment Summary

FORCE ACCOUNT EQUIPMENT SUMMARY RECORD					
APPLICANT	PROJECT NO.	PAGE	OF	MONTH	YEAR
LOCATION	PERSONNEL	EQUIPMENT	TC	LEAD	

- **Important information on the top of the Application**
- 1) Name of the Applicant: Community
- 2) Location: Street
- 3) Description of Work: Describe exact work performed. For example, Hauled an estimated 40 appliances to the barge landing which were shipped out by barge, etc. Job that needs to be performed is indicated on the Project Work Sheet.
- 4) Page Of: Enter number of pages (some times Applicant has more than 1 page of Labor Summary Record) page 1 of 3.

Force Acct Equip Summary Cont

- 1) Project NO: PW # (this information can be obtained form the Project Work Sheet)
- 2) Category: A , B , C, D, E, F (this information can be obtained from Project Work Sheet)
- 3) Disaster: The name of the Disaster (this information can be obtained from Project Work Sheet). DR-1843-AK.
- 4) Period Covering: Enter dates that indicated on this page in the section " Dates and Hours used each day".

Force Acct Summary cont.

- Important Information on the top of the Application
- 1) Name of the Applicant: Community
 - 2) Location: Street
 - 3) Description of Work: Describe exact work performed. For example, Hauled an estimated 40 appliances to the barge landing which were shipped out by barge, etc. Job that needs to be performed is indicated on the Project Work Sheet.
 - 4) Page Of: Enter number of pages (some times Applicant has more than 1 page of Labor Summary Record) page 1 of 3.

Force Acct Labor cont.

- 1) Project NO: PW # (this information can be obtained from the Project Work Sheet)
- 2) Category : A , B , C , D , E , F (this information can be obtained from Project Work Sheet)
- 3) Disaster: The name of the Disaster (this information can be obtained from Project Work Sheet). DR-1843-AK.
- 4) Period Covering: Enter dates that indicated on this page in the section " Dates and Hours used each day".

Force Acct Summary Cont

Type of Equipment		Operator's Name	Equipment Used For
Indicate Size, Capacity, Horsepower, Make And Model As Appropriate	Equipment Code Number		
			Project
			Administrative Use

- Important Information Middle Section of the Application (Left Corner)
- 1) Type of Equipment (include size, capacity, horsepower, make and model); enter name size, make, model of the equipment that is being used for the project. For example, Dozer Truck, Ford 2003.
 - 2) Equipment Code Number: enter code number, that can be obtained from your internal record books. For example 8073.
 - 3) Operator's Name: Enter name of the operator. For example, Mr. X.
 - 4) Equipment Used Project - Equipment used for the project, to repair road, etc. by employee, that operates specific equipment.
Administrative - Equipment used for managing project. For example, Truck to deliver payroll documentation from point A to point B.

Force Acct Summary Cont

Dates and Hours Used Each Day				Costs		DISCU use only (fill in after audit)
Date	Hours	Equipment Rate	Cost	Cost		
12/01	7	\$75.00	\$525.00			
12/03	3	\$75.00	\$225.00			
Total	10		\$750.00			

- Important Information
- 1) Date: Enter dates that equipment was used. For example, 12/01/09.
 - 2) Hours.: Enter hours that equipment was used. For example 3 hours, etc.
 - 3) Hours: Enter hours cumulative. For example, 12/01 hours equipment was used 7, 12/03 hours equipment was used 3. Total hours equipment was used 10 hours.
 - 4) Equipment Rate: Enter equipment rate per hour. For example, equipment rate is \$75.00.
 - 5) Cost: For example, equipment was used for 10 hours, at the rate of \$75.00/hour, total cost \$750.00.

Force Acct Equipment Cont.

Contract for Administrative Use		
Contract for Project Use		
Contract Total		
Contractor's Name/Address:	Contractor's Signature:	Date:

- Important Information bottom section of the Contract Force Account Equipment Summary Form
 - All costs indicated below have to be separated
- Contract for Administrative Use
Contract for Project Use
Contract Total
- Document needs to be signed, dated and name of the certifier printed
- 1) Certifier's printed name and title
 - 2) Certifier's signature
 - 3) Date

Project Final Narrative Report

PROJECT FINAL NARRATIVE REPORT
Management Executive Summary Report to Community Management

This report is prepared by the community management and is intended to provide a summary of the project and its results. It is prepared for the community management and is not intended to be used for any other purpose.

Project Name: _____
Project Number: _____
Project Start Date: _____
Project End Date: _____

Scope of Work Inserted here. Found in PW.

Please indicate when the project started, when it was completed and what was accomplished.

Project Start Date: _____
Project End Date: _____
Project Status: _____

Project Final Narrative cont.

Total Funds awarded for project	\$	
Total funds expended to date	\$	
Total Administrative Funds expended to date	\$	
Do you have a cost overrun?	Yes	No
If Yes, by how much amount?	\$	
Will you be requesting reimbursement for your cost overrun?	Yes	No
Date project was completed		
Administrative Comments:		

- 1) Total Funds Awarded for project: Enter the amount. For example, \$5,000.00. This information can be obtained from Project Worksheet.
- 2) Total Funds Expended to date: Enter total amount of funds used for the project. For example \$5,000.00. This information can be obtained from the Summary Records (Force Account Equipment Summary Form, etc.)
- 3) Total Administrative Funds expended to date: Enter amount used for Administrative part of the project. Administrative Work performed to support project by filling out documentation, payroll. This information can be obtained from Summary Records.

Project Final Narrative cont.

Total Funds awarded for project	\$	
Total funds expended to date	\$	
Total Administrative Funds expended to date	\$	
Do you have a cost overrun?	Yes	No
If Yes, by how much amount?	\$	
Will you be requesting reimbursement for your cost overrun?	Yes	No
Date project was completed		
Administrative Comments:		

- 1) Do you have a cost overrun? Indicate Yes or No. What is the Amount of funds used for the project above the Awarded amount. For example, Awarded Amount \$5,000.00, amount of funds used above awarded amount \$2,000.00.
- 2) Will you be requesting reimbursement for your cost overrun? Indicate Yes or No
- 3) Date a project was completed? Enter an exact date the project was completed. For example, 12/08/09.

Benefit Calculation sheet

HOLIDAYS	4.00%	
PERSONAL LEAVE	19.80%	
SOB	0.150%	0.150%
MEDICARE	1.450%	1.450%
UNEMPLOYMENT	0.150%	0.150%
WORKERS COMP.	0.270%	0.270%

Applicant's Benefits Calculation Worksheet-Percentage can be obtained from Payroll Documentation.

Document needs to be signed, dated and name of the certifier printed.

- 1) Certifier's Printed Name and Title
- 2) Certifier's Signature
- 3) Date

Statement of documentation to support amount claimed for financial disaster assistance

FEDERAL EMERGENCY MANAGEMENT AGENCY DEPARTMENT OF HOMELAND SECURITY AND VETERANS AFFAIRS STATE OF MISSISSIPPI COMMUNITY DEVELOPMENT AND INFRASTRUCTURE RECOVERY AND RECONSTRUCTION DIVISION		
Project Name:	Community	Date:
Please describe damage: For example, Flood water destroyed south corner of the building etc. This information can be obtained from FEMA PW.		
What FEMA Estimated This information can be obtained from Project Worksheet	What community did information obtained from Summary Form	What State approved
\$ 5,000.00	\$ 5,000.00	\$ 5,000.00
\$ 248.00	\$ 215.00	\$ 315.00

Request for Funds

REQUEST FOR FUNDS DIVISION OF DISASTER ASSISTANCE AND PREVENTION/RECONSTRUCTION STATE OF MISSISSIPPI	
Project Name:	Community
Requester Name:	Community
Requester Address:	Community
Requester Phone:	Community
Requester Email:	Community
Requester Title:	Community
Requester Signature:	Community
Requester Date:	Community
Requester Title:	Community
Requester Signature:	Community
Requester Date:	Community
Requester Title:	Community
Requester Signature:	Community
Requester Date:	Community

Request for Funds cont.

7. Request on funds that are classified as advances or physical of federal assets for small projects are required on a quarterly basis detailing their status. This requirement is mandatory even if no expenditures have occurred.

DATE: _____ TITLE: _____

SIGNATURE: _____

Document needs to be signed, dated and name of the certifier printed.

- 1) Certifier's printed name and title
- 2) Certifier's signature
- 3) Date

Project Quarterly Report

PROJECT QUARTERLY REPORT
Division of Environmental Science and Emergency Management

This form is required to be submitted on a quarterly basis for each project. If you have any questions, please contact the Division of Environmental Science and Emergency Management at 603-271-2700. This form may be used for the reporting of any project. Complete this form for each project. Do not include information regarding the performance of the project. Complete this form for each project.

April 1 to June 30 report due to FEMA by July 2nd
 July 1 to September 30 report due to FEMA by October 2nd
 October 1 to December 31 report due to FEMA by January 2nd
 January 1 to March 31 report due to FEMA by April 2nd

Please indicate current reporting period

Project Number	Project Name

For Example: This quarter the following tasks has been completed a) graded road; b) etc..... There are no circumstances that will delay completion of the project, or there are the following circumstances that will delay completion of the project a) severe weather, etc.....

Project Quarterly Report cont.

Indicate any reasons this project will not be completed on time.

Total Funds awarded for project by FEMA (Please see Project Worksheet)	\$ 15,000.00
Total Funds spent in the quarter (reporting period)	\$ 2,000.00
Total Funds spent in last 4 quarters (summary of all quarters to date)	\$ 9,400.00
Total Administrative Funds provided to date	\$
Equipment/Supplies/Supplies provided to recipient's project	\$
Do you plan on entering into approved Project Worksheet amount? (See Note 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, by how much money?	\$
Will you be requesting reimbursement for your contribution?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will the project be completed as written in the Scope of Work?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If No, a request to change the S.W. or add approved/alternate project need be submitted to FEMA/DEM.	
How satisfied are you with your project? (1=very satisfied, 2=neutral, 3=not satisfied)	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
Total amount of advanced funds to date	\$
Are all advanced funds liquidated? (If not completely liquidated, please explain above)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Was the approved completion date of project:	

Make sure that all questions in the bottom portion of the Project Quarterly Report are answered and information is entered.

Reports

- Quarterly Progress Reports On All Projects:
 - Project status
 - Completion date
 - Potential problems
- Final Inspection Reports

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Quarterly Report

PROJECT QUARTERLY REPORT
Division of Environmental Science and Emergency Management

This form is required to be submitted on a quarterly basis for each project. If you have any questions, please contact the Division of Environmental Science and Emergency Management at 603-271-2700. This form may be used for the reporting of any project. Complete this form for each project. Do not include information regarding the performance of the project. Complete this form for each project.

April 1 to June 30 report due to FEMA by July 2nd
 July 1 to September 30 report due to FEMA by October 2nd
 October 1 to December 31 report due to FEMA by January 2nd
 January 1 to March 31 report due to FEMA by April 2nd

Please indicate current reporting period

Project Number	Project Name

For Example: This quarter the following tasks has been completed a) graded road; b) etc..... There are no circumstances that will delay completion of the project, or there are the following circumstances that will delay completion of the project a) severe weather, etc.....

How do I get paid?

- Must provide written request
- Request must be accompanied by required supporting documentation

Types of Payments

- Advance
- Reimbursement
- Initial Incentive (small projects)
- On behalf of (OBO)
- Final

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Small Project Closeout

Documentation and close-out accomplished by several methods

No Cost Overtime:

- Grantee submits close-out forms, payment request and evidence of project completion
- SPAO will complete a Final Inspection Report or Net Small Project Final Inspection,
- SPAO process any final payments and close out the FW.
- SPAO may conduct on-site inspection if sub-grantee provided evidence is insufficient.

Required Close-Out Documents:

- Payment Request
- Statement of Documentation
- Final Project Narrative
- Certificate of Compliance
- Project Completion and Certification (P-4)
- Evidence of project completion

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Small Project Closeout (cont.)



Cost Overrun - a sub-grantee must:

- have completed all their Small Projects
- total actual costs for completion all Small Projects combined must exceed the total approved dollar amount for all the Small Projects by at least \$1000
- submit payment request, all cost documentation and appropriate summary forms to support claimed costs
- must provide a written request for the overrun with analysis supporting how costs were necessary to complete approved PW scope of work

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Small Project Closeout (cont.)



Required Close-Out Documents:

- Statement of Documentation
 - Final Project Narrative
 - Certificate of Compliance
 - Project Completion and Certification (P-4)
 - Evidence of project completion
 - Summary Forms and back-up cost documentation
- Including but not limited to:
- Labor costs and records
 - Fringe Benefits
 - Personal policies
 - Equipment Salvage values
 - Applicable Equipment Rates
 - Procurement Method Report/Procedures
 - Copy of contract(s)
 - Insurance policies and settlements

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Small Project Closeout (cont.)



High Risk sub-grantees:

- Must follow the Large Project procedures for their Small Projects
- All costs claimed must be accompanied by supporting cost documents, summary forms
- Payments limited to reimbursements and On-Behalf-Of payments (No Advances or Initial Incentive Payments)
- Payments capped at federal share (75%) of PW amount until final inspection and close-out
- SPAO will schedule a Net Small Project Final Inspection when all small projects are completed

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Large Project Closeout



Large Projects:

SPAO will schedule Final Inspection upon completion SPAO must have all of the following:

- Payment Request (if applicable)
- Statement of Documentation
- Final Project Narrative
- Certificate of Compliance
- Project Completion and Certification (P-4)
- All applicable Summary Forms and back-up cost documentation

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Large Project Closeout (cont.)



Large Projects:

- SPAO will audit all cost documentation
- SPAO will inspect and document all aspects of the Scope of Work outlined in the PW
- If Scope of Work is incomplete, the Sub-grantee must either complete it or make formal request for removal from the PW.
- If all work was verified as complete, SPAO will complete Final Inspection Report, process any final payments of eligible costs, and request Project Closeout through FEMA.

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Large Project Closeout (cont.)



Large Projects:

- If a large project was 100 percent complete at the time of writing, AND:
 - the eligible cost was based on actual cost information
 - sub-grantee is not claiming additional funding
- THEN

An on-site final inspection will not be conducted; however a final inspection report will still be generated noting this information. Subsequently the State will complete a Closeout package and submit it to FEMA.

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Applicant Closeout



Upon completion of both Small and Large projects, the State will send a written "Project Completion and Certification Report, P-4" to the FEMA Public Assistance Officer.

Small project certifications require that

- All projects were completed in accordance with FEMA approvals and,
- The State and/or Sub-grantee's contribution to the non-Federal share, as specified in the FEMA-State Agreement, has been executed.

Large project certifications require that:

- Reported costs were incurred in the performance of eligible work
- The approved project was completed
- Completed work was in compliance with FEMA-State Agreement
- Payments were made in accordance with 44CFR 13.21

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Recovery Plan



The purpose of this plan is to assist the applicant/sub-grantee in determining their ACTUAL recovery capabilities and to improve project worksheet development

DHS&EM will assist however it is the responsibility of the applicant/sub-grantee to complete

Funding for permanent work will not be disbursed until sub-grantees Recovery Plan is on file with DHS&EM.

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Recovery Plan



PUBLIC ASSISTANCE RECOVERY PLAN

I. PURPOSE

The purpose of this plan is to identify the APPLICANT (hereinafter referred to as the Applicant) damages/impacts, gaps in recovery capabilities, organizational structure to implement recovery efforts/manage sub-grant activities, priorities in recovery, and sources of possible funding.

The Applicant assures DHS&EM that it shall comply with all applicable statutes and regulations in effect during the periods for which it receives grant funding, including requirements for permitting, procurement, and applicable codes and standards.

II. DAMAGE/IMPACT OVERVIEW

The following is an overview of the damages and impacts from the EVENT to APPLICANT owned facilities, or facilities in which the legal responsibility for damages rests with APPLICANT

III. DISASTER RECOVERY ASSESSMENT TOOL and GAP ANALYSIS

IV. RECOVERY PROJECTS AND PRIORITIES

V. ORGANIZATIONAL STRUCTURE

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Contact Info



Brian Fisher
428-7014
1-800-478-2337
fax: 428-7009
Brian.Fisher@alaska.gov

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QUESTIONS???



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APPENDIX 3

SAMPLE GRANT AGREEMENT PACKAGE

Date

Name
Title
Community or Agency
Address

Dear {Name}:

Thank you for expressing an interest in applying for assistance associated with your damages incurred from the {Disaster # and Name}.

Please complete the attached forms and return them to our office by {List Deadline}. If the forms are not returned to DHS&EM by the established deadline, we will assume that {Insert Name of Community/Agency} is no longer interested in the Public Assistance program and will consider your request for assistance as withdrawn.

We look forward to assisting your community. If you have any questions, please contact me at 800-478-2337 or 907-428-7XXX or by email at first.last@alaska.gov.

Sincerely,

Name
State Public Assistance Officer

xxx:xxx

Enclosures: as stated

CC:

**Insurance Commitment Certification
for the
Public Assistance Disaster Program**

Disaster Name and Number: _____

(Name of Applicant)

I _____, certify that _____
(Name) (Community or Agency)

hereby commits to purchase and maintain insurance on _____
(Name of Damaged Facility)

for the hazard that caused the damage and that the amount of the insurance coverage will, at a minimum,
be in the amount of the estimated eligible project costs for that facility prior to any reduction.

Typed Name and Title of Certifying Official

Certifying Official's Signature *

Date

* Certifying Official must be one of the Agents listed on the Designation of Applicant's Agent form (DHS&EM FORM 30-5)

Designation of Applicant's Agent

DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

Primary Agent	Secondary Agent
Agent's Name	Agent's Name
Organization	Organization
Official Position	Official Position
Mailing Address	Mailing Address
City, State, Zip	City, State, Zip
Daytime Phone Number Cell:	Daytime Phone Number Cell:
Fax Number	Fax Number
E-mail	E-mail

The above **Primary Agent** is responsible for applying for State or Federal Disaster Assistance, signing all assurances and grant condition agreements, negotiating the Scope of Work on Project Worksheets, reporting on Project Worksheet status, requesting extensions, appealing determinations and any other actions required with the State.

The above **Secondary Agent** has all the responsibilities of the Primary Agent if that person is unavailable.

Chief Financial Officer	Certifying Official
Name	Name
Organization	Organization
Official Position	Official Position
Mailing Address	Mailing Address
City, State, Zip	City, State, Zip
Daytime Phone Number Cell:	Daytime Phone Number Cell:
Fax Number	Fax Number
E-mail	E-mail

The above **Chief Financial Officer** is responsible for setting up financial structures to track eligible expenditures by Project Worksheet as well as the Administrative Allowance for all projects. Prepares and submits (through the Primary Agent or Direct to the State) the required financial reports and backup documentation for each Project Worksheet and Administrative Allowance. Responsible for complying with State and Federal audit requirements and requests.

The above **Certifying Official** is responsible for Certifying that all progress and financial reports are correct, responsible for Certifying that all required permits were obtained for Project Worksheets and that insurance has been obtained for all projects with more than \$5,000.00 in disaster funding. Finally, this person is responsible for certifying that all work and costs claimed are eligible in accordance with the grant conditions and that all costs claimed have been paid in full.

Applicant's Federal Employer's Identification Number

Certifying Official's Signature:	Date:
----------------------------------	-------

DISASTER PUBLIC ASSISTANCE GRANT

Name of Applicant

GRANT NUMBER (Disaster Number) _____

CFDA Number _____

ASSURANCES AND AGREEMENTS

As a condition of receiving disaster assistance, as indicated by the signature of the duly authorized representative of the applicant below, the applicant certifies and agrees as follows:

1. **Legal Authority.** The applicant possesses legal authority to apply for the grant, and to finance and construct the proposed facilities; that a resolution, motion, or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

Initial

2. **Eligible Work.** To the best of the Applicants knowledge and belief, the disaster relief work described on each Federal Emergency Management Agency (FEMA) project worksheet for which federal and State disaster relief funds are requested is eligible in accordance with the criteria contained in 44 Code of Federal Regulations (CFR), Part 206, and applicable FEMA Handbooks and policies. Repair work will not begin on projects that result in a change from the pre-disaster configuration (that is, different location, footprint, function, or size) without DHS&EM pre-authorization for proposed changes. **Failure to obtain preauthorization for change of funding or scope of work may result in a loss of funding for the entire project.**

Initial

3. **Changes to Approved Scope of Work.** If you wish to make changes to a project that results in a significant change from the pre-disaster configuration (that is, different location, footprint, function, or size) a written request must be submitted to DHS&EM and approved before the work is performed. DHS&EM will notify the applicant if the changes are approved. Any subsequent changes you wish to make to the Scope of Work to a written, obligated Project Worksheet (PW) also require written approval. **Failure to obtain pre-approval may result in a loss of funds for the entire project.**

Initial

3. **Cost Overruns.** If you expect to have a cost overrun, a written request must be submitted to the Division of Homeland Security & Emergency Management (DHS&EM) before expenditures are made. Identify why there will be an overrun and include an itemized list of expenses. DHS&EM will notify you in writing if these expenses are eligible items.

Initial

4. **No Duplication of Assistance.** The disaster assistance will not duplicate assistance or benefits received for the same loss from another source including insurance.

Initial

5. **Regularly Appropriated Monies.** If the applicant is a State or local agency, the applicant certifies that any regularly appropriated monies will be exhausted before accepting and using disaster relief funds.

Initial

6. **Insurance.** The Applicant accepts responsibility for acquiring any necessary liability insurance. The applicant also agrees to provide workers' compensation insurance as required by AS 23.30 for all employees engaged in work

funded by the grant. The applicant shall require any contractor to provide and maintain workers' compensation insurance for its employees as required by AS 23.30. It will comply with the insurance requirements of Section 311, PL 93-288. An applicant shall comply with regulations prescribed by the President to assure that, with respect to any property to be replaced, restored, repaired or constructed with the disaster assistance, such types and extent of insurance will be obtained and maintained as may be reasonably available, adequate and necessary, to protect against future loss to such property prior to disaster Project Worksheet funds disbursement.

_____ Initial

7. **Bond Requirements.** Applicant agrees to require any contractor to comply, at a minimum, with the bond provisions specified in AS 36.25.010(a) and (b).

_____ Initial

8. **Lands, Easements, Rights-of-way, and Permits.** The applicant agrees to provide without cost to the State or federal government all lands, easements, and rights-of-way necessary for accomplishment of the approved work. The applicant further agrees to obtain all necessary permits to accomplish the approved scope of work. Permits of this nature are an eligible expense.

_____ Initial

9. **Floodplain Management.** The applicant will comply with the provisions of: Executive Order 11988, relating to Floodplain Management and Executive Order 11990, relating to Protection of Wetlands.

_____ Initial

10. **National Flood Insurance.** The applicant will comply with the flood insurance purchase requirements of Section 102 (a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Statue. 975, and approved December 31, 1973. Section 102 (a) requires that on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available is a condition for receiving any federal financial assistance for construction acquisition in any area that has been identified by the Director of FEMA as an area having special flood hazards. The phrase "Federal Financial Assistance" includes forms of loans, grant guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect federal assistance.

_____ Initial

11. **Disaster Mitigation.** The applicant agrees to undertake and complete any mitigation measures required as a condition of this grant. **Failure to do so may result in a loss of funding for the entire project.**

_____ Initial

12. **Equal Opportunity Employment.** The applicant may not discriminate against any employee or applicant for employment because of race, religion, color, national origin, age, physical handicap, sex, marital status, changes in marital status, pregnancy or parenthood.

_____ Initial

13. **Wage Rates.** The applicant will comply with the applicable wage and hourly provisions of A.S.36.05.010 – 110 (Alaska Little Davis-Bacon Act).

_____ Initial

14. **Audit Requirements.**

A. **Federal:** The applicant agrees that, as a condition of receiving any federal financial assistance, an A-133 audit of those federal funds will be performed, if required by law, and further agrees it will comply with all applicable audit requirements.

B. **State:** If the applicant is an entity that received federal financial assistance totaling \$500,000 or more during the entity's fiscal year, the applicant shall submit to the State coordinating agency, within one year after the end of the audit period, an annual audit report covering the audit period. See 2 AAC 45.010.

C. **Sub-Grantees identified as either "overdue" or "non-compliant" by the Alaska Dept of**

Administration, Division of Finance, Single Audit Coordinator shall be subject to the following disaster grant payment restrictions:

1. **The Division of Homeland Security & Emergency Management (DHS&EM) will not process disaster grant payments of any nature directly to the sub-grantee**
2. **Sub-grantee will be required to fully comply with the A-133 Audit requirements as specified by the Alaska Dept of Administration, Division of Finance, Single Audit Coordinator**
3. **Sub-grantee will provide compliance evidence to DHS&EM from the state audit coordinator before any payment will be processed**
4. **DHS&EM may process On-Behalf-Of (OBO) payments to vendors for costs directly associated to the scope of work on approved Project Worksheets**
5. **Disaster performance periods will not be extended due to a sub-grantee's failure to comply with A-133 Audit requirement**
6. **Payments made in error to sub-grantees that are either "overdue" or "non-compliant" must be repaid to the state of Alaska within 90 days of receipt of notice from DHS&EM**

_____ Init/Date

15. **Barred/Suspended Vendors.** Ensuring contracted work or material purchases are not from state or federally barred sources or contractors.

_____ Initial

16. **Grant Administration Procedures.** The applicant agrees to follow grant administration and accounting procedures required by the Department of Military and Veteran's Affairs, DHS&EM as set out in guidance and forms provided by DHS&EM.

_____ Initial

17. **Procurement and Contracts.** Contracts must be of a reasonable cost, generally be competitively bid, and must comply with Federal, State, and local procurement standards. Detailed requirements for eligible procurement methods and contract types can be found in 44 CFR Part 13 – *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*. The applicant agrees to review and follow procurement and contract requirements necessary for compliance with the PA program. Further, the applicant understands that failure to comply with these requirements may result of loss of funding for the entire project.

_____ Initial

18. **Project Cost Eligibility.**

A. The eligibility of project costs to be paid by disaster assistance monies shall be determined by 44 CFR and related Federal Emergency Management Agency (FEMA) policies which are available on the FEMA website at www.fema.gov or in hard copy by request.

B. Cost plus a percentage of cost and percentage of construction cost methods of contracting shall not be used. Project contracts must be competitively bid for.

_____ Initial

19. **Project Operation and Maintenance.** The applicant will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable federal, State and local agencies for maintaining and operating such facilities.

_____ Initial

20. **Project Standards.**

A. The applicant will provide and maintain competent and adequate architectural engineering supervision and inspection at the construction site to ensure that the completed work conforms with the approved plans and specifications.

B. The applicant will require the facility to be designed to comply with the “American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by the Physically Handicapped,” Number A117.1-1961, as modified (41 CFR §101-17-7031). The applicant will be responsible for conducting inspections to ensure compliance with these specifications by the contractor.

C. The applicant will, for any repairs or construction financed herewith, comply with applicable standards of safety, decency and sanitation.

D. The applicant will evaluate the natural hazards in areas in which the proceeds of the grant or loan are to be used in conformity with applicable codes, specifications and standards and take appropriate action to mitigate such hazards, including safe land use and construction practices.

_____ Initial

21. **Project Completion Timelines Progress Reports.** The Applicant will commence work on the project within a reasonable time after receiving notification from DHS&EM that funds have been approved and will ensure that work on the project proceeds to completion with reasonable diligence and in compliance with 44 CFR §206.204. The Applicant will furnish quarterly progress reports for all Large and Small Projects and any other reports as required by DHS&EM.

A. The Applicant must submit all cost estimates to the DHS&EM within 60 days of the first substantive meeting with FEMA and the State (Kickoff Meeting.)

B. The Applicant must complete all work associated with the Project Worksheet. If the work is not completed, the applicant will be required to return all State and federal funding.

C. Failure to submit required reports and documentation will result in de-obligation of the Project Worksheet, and the Applicant will be required to return all State and federal funding.

D. The Applicant agrees to undertake and complete any mitigation measures required as a condition of this grant. Failure to do so may result in a loss of funding for the entire project.

E. The Applicant has 90 days from the date the PW is 100% complete to submit all required back-up documentation (timesheets, pay stubs, invoices, etc.) to substantiate the eligible costs associated with the Project Worksheet(s). If the Applicant does not provide the required documentation within the 90 day time limit, the State may de-obligate all remaining funds and close the Project Worksheet.

_____ Initial

22. **Time Extension Requests.** Work must be completed by the project completion deadlines. Should additional time be required to complete the approved work, a time extension request must be submitted prior to the existing completion date and must include: a.) PW requiring an extension, b.) reason for the time extension, c.) percentage of work that has been completed, and d.) anticipated completion date. The reason for needing an extension must be based on extraordinary circumstances/ unusual project requirements that are beyond the control of the jurisdiction/organization. **Failure to submit a time extension request may result in a loss of funding for the entire project.**

_____ Initial

23. **Documentation.** The State requires the applicant/subgrantee to submit all back-up documentation (timesheets, pay stubs, invoices, etc.) to substantiate all costs associated with “Large” PWs and all PWs for “High Risk” applicants (see state PA Administrative Plan for documentation details).

_____ Initial

24. **Retention and Access to Records.** The Applicant understands that DHS&EM and the federal Comptroller General, through any authorized representative, has access to and the right to examine all records, books, papers, or documents related to the grant. The Applicant will maintain all records related to the project for three years after the date the Federal Emergency Management Agency closes the Applicant’s last Project Work for that disaster.

_____ Initial

25. **State Right of Enforcement.** These assurances and agreements are given in consideration of, and for the purpose of obtaining any and all disaster grants, loans, reimbursements, advances, contracts, property, discounts or other disaster related financial assistance. The applicant acknowledges and agrees that such financial assistance is extended in

reliance on the representations and agreements made in this assurance, and that the State shall have the right to seek judicial enforcement of these assurances and agreements.

_____ Initial

26. **Assurances and Agreements Binding on Applicant's Successors, Transferees and Assignees.** These Assurances and Agreements are binding on the applicant, its successors, transferees and assignees.

_____ Initial

27. **Waiver of Sovereign Immunity.** If the applicant is an entity that possesses sovereign immunity, it agrees that it shall be subject to suit for actions arising out of the project activities in the same manner, and to the same extent, as any person and shall not be immune nor exempt from any administrative or judicial process, sanction or judgment. If the applicant is an entity that possesses sovereign immunity and it has not been waived by statute, the applicant shall provide DHS&EM with a resolution of its governing body waiving sovereign immunity.

_____ Initial

28. **Applicable Law.** This agreement is to be construed according to the laws of the State of Alaska. Any civil action arising from this Agreement shall be brought in the Superior Court for the Third Judicial District of the State of Alaska at Anchorage.

_____ Initial

29. **Hold Harmless.** The applicant agrees to indemnify and hold harmless the State of Alaska and the United States and their officers, agents, and employees from and against any and all claims, damages, losses and expenses, including attorney's fees and costs, arising directly or indirectly out of any aspect of the projects and funding set forth and described in this application. The applicant is not required to indemnify the State of Alaska or the United States for their sole negligence. Applicants requesting reimbursement for Debris Removal (Category A) will be required to provide a separate indemnification.

_____ Initial

30. **Compliance with Laws.** The applicant agrees to comply with all federal, State and local laws and regulations applicable to this grant or the projects funded by the grant including but not limited to FEMA regulations, policies, guidelines and requirements, as applicable; OMB circulars A-95, A-102 and A-133; Section 311, PL 93-288 and Title VI of the Civil Rights Act of 1964; Title II and Title III of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970; the Hatch Act; and AS 36.25.010. Applicant is responsible for complying with all local, State, and federal permitting and insurance requirements.

_____ Initial

31. **Nonwaiver.** The failure of the State at any time to enforce a provision of this agreement shall in no way constitute a waiver of the provision nor in any way affect the validity of this Agreement or any part hereto or the right of the State to enforce each and every provision hereof.

_____ Initial

32. **Severability.** If any article, section, provision or clause of this agreement should be adjudicated by a court of competent jurisdiction to be invalid or unenforceable, the remainder of the agreement shall remain in full force and effect as if such article, section, provision or clause, or any part so adjudicated to be invalid had not been included herein.

_____ Initial

33. **Amendments.** Amendments to the provisions of this agreement are required to be in writing and shall be executed by the authorized representatives of the parties. **Prior written approval is required for (1) Any budget revision which would result in the need for additional funds, (2) A change in the scope of the approved project.**

_____ Initial

33. **Appeals.** If you wish to appeal a decision made by the State or FEMA, you must submit a written appeal to DHS&EM within 60 days from the date of written notice of the determination being appealed.

_____ Initial

34. **Retention of Records.** The applicant agrees to retain all records and supporting documentation for three years after closeout of their last Project Worksheet.

_____ Initial

As the authorized representative of _____, I have reviewed this agreement and agree to comply with its provisions as a condition of receiving disaster grant assistance.

Printed Name and Title of Authorized Representative

Signature

Date

NOTE: If a Notary is unavailable, a Postmaster may substitute as a witness.

SUBSCRIBED AND SWORN TO before me this ____ day _____, 200__.

Notary Public in and for
The State of Alaska
My Commission expires: _____

WAIVER OF SOVEREIGN IMMUNITY

Grant Agreement Number (Disaster Number): _____

RESOLUTION NUMBER: _____

A RESOLUTION OF THE {name of native village} (Applicant) accepting State of Alaska, Division of Homeland Security & Emergency Management (DHS&EM) grant number {DHS# XXXX} for the {name of disaster} and waiving sovereign immunity from suit for actions arising out of, or in connection with, the grant.

WHEREAS, DHS&EM requires as a condition of the grant that the Applicant irrevocably waive any sovereign immunity which it may possess, and consent to suit against itself or its officials as to all causes of action arising out of or in connection with the grant agreement;

NOW THEREFORE BE IT RESOLVED THAT:

1. The Applicant irrevocably waives its sovereign immunity and agrees that it shall be subject to suit under the laws of the State of Alaska by the State of Alaska or by any person, in Alaska state court or in any other court of competent jurisdiction, for activities arising out of or in connection with the grant number {DHS#XXXX} in the same manner, and to the same extent as any person and shall not be immune or exempt from any administrative or judicial process, sanction or judgment.
2. The Applicant hereby authorizes the individual(s) identified on the Designation of Applicant's Agent form (DHS&EM form 30-5) to negotiate, administer and execute on behalf of the Applicant for grant number {DHS#XXXX} for the {name of disaster} and to negotiate, execute, and administer any other documents, agreements, and contracts required under or related to the grant agreement including the Assurances and Agreements required as a condition of the grant and any subsequent grant amendments.

PASSED AND APPROVED BY THE {name of native village}. On {month and day}, 200{year}.

IN WITNESS THERETO:

Signature _____ Title _____

Attest: SIGNATURE OF CLERK/SECRETARY

Signature _____ Title _____

DISASTER PUBLIC ASSISTANCE GRANT

City of Diomedes

GRANT NUMBER (DISASTER Number) _DR 4050-AK_

INDEMNITY AND HOLD HARMLESS AGREEMENT

Pursuant to Sections 403 and 407 of the Stafford Act, 42 U.S.C. § § 5170b & 5173, the (insert the Relevant Municipality, Inc.) hereby agrees to indemnify and hold harmless the United States of America for any claims arising from the removal of any and all debris or wreckage from public or private property carried out under the authority, jurisdiction or direction of (insert the Relevant Municipality, Inc.) as a result of response activities under Major Disaster Declaration FEMA - ~~XXXX~~ - DR, as more fully described in the FEMA-State Agreement for said disaster executed by the Governor of Alaska on (insert Date FEMA State Agreement was signed).

As the authorized representative of _____

I have reviewed this agreement and agree to comply with its provisions as a condition of receiving disaster grant assistance.

Printed name and Title of Authorized Representative

Signature

Date

SUBSCRIBED AND SWORN TO before me this _____ day _____, 200__.

Notary Public in and for
The State of Alaska
My Commission expires: _____

TEMPLATE FOR A POST-DECLARATION SUB-GRANTEE RECOVERY PLAN

<INSERT NAME OF SUB-GRANTEE> PUBLIC ASSISTANCE RECOVERY PLAN
for <INSERT DISASTER NAME>

INSTRUCTIONS

This document is intended to be a sample format that Sub-Grantees can use as guidance as they develop their own Public Assistance Recovery Plan for each disaster specific event. Each Sub-Grantee should tailor the format of their Recovery Plans, as needed, to best identify damages, impacts, priorities, and help explain their own process of administering the disaster grant funding.

Bolded and capitalized text is to be used as guidance and is not to be included in the final Plan as suggested text. *Notes are provided in appropriate sections to indicate your need to comply with specific regulatory requirements.*

When referencing existing documentation, summarize and provide reference or citation. Where possible, please cite section or paragraph. DHS&EM may request the actual source documentation if necessary.

TEMPLATE FOR A POST-DECLARATION SUB-GRANTEE RECOVERY PLAN

<INSERT NAME OF SUB-GRANTEE> RECOVERY PLAN for <INSERT DISASTER NAME>

TABLE OF CONTENTS

- I. PURPOSE
- II. DAMAGE/IMPACT OVERVIEW
- III. DISASTER RECOVERY ASSESSMENT TOOL and GAP ANALYSIS
- IV. ORGANIZATION STRUCTURE/ DIRECTION & CONTROL
- V. RECOVERY PROJECT PRIORITIES
- VI. FUNDING SOURCE IDENTIFICATION

I. PURPOSE

The purpose of this plan is to identify the <Insert Name of Sub-Grantee>, (hereinafter referred to as the Applicant) damages/impacts, gaps in recovery capabilities, organizational structure to implement recovery efforts/manage sub-grant activities, priorities in recovery, and sources of possible funding.

The Applicant assures DHS&EM that it shall comply with all applicable statutes and regulations in effect during the periods for which it receives grant funding, including requirements for permitting, procurement, and applicable codes and standards.

II. DAMAGE/IMPACT OVERVIEW, RECOVERY PROJECTS AND PRIORITIES

- A. The following is an overview of the damages and impacts from the <Insert Disaster Name> to <Insert Sub-Grantee Name> owned facilities, or facilities in which the legal responsibility for damages rests with <Insert Sub-Grantee Name>.
 - 1. *<List each facility that was damaged as a direct result of the declared disaster and provide specific impacts the damages are having on your community or organization. Include date of damages, cause of damages, information regarding maintenance of facility, use of facility (active use or alternate use at time of disaster), information on facilities that were under construction at the time of the disaster or those scheduled for replacement at the time of the disaster (See PA Guide Pages 22-28)>*
- B. Identification of damages/impacts and a review of existing capabilities and resources provide the foundation in which communities or organizations can effectively plan for and prioritize the recovery efforts
- C. This section of the Recovery Plan should clearly provide specific details on how the community or organization will address recovery efforts on a project by project basis. Each project listed below should include the following details:

TEMPLATE FOR A POST-DECLARATION SUB-GRANTEE RECOVERY PLAN

1. Description and dimensions of damages and identification of cause of damage
2. Planned scope of work detailing how the damages will be repaired or replaced
3. Proposed mitigation efforts
4. Estimated costs for repair/replacement activities
5. Priority of project
6. Funding strategy (Where can this project be supported financially? (e.g., other grants, internal funding, alternate projects, etc))

III. DISASTER RECOVERY ASSESSMENT TOOL and GAP ANALYSIS

- A. The Disaster Recovery Assessment Tool is intended to help authorities analyze the damages/impacts of a disaster while considering the sub-grantees capacity to promote its own recovery. This includes the ability to effectively address disaster related repair/replacement efforts and the ability to manage the disaster related grant according to the programmatic requirements of the Public Assistance program.
- B. Completion of the Disaster Recovery Assessment Tool is a coordinated effort between the State DHS&EM and the affected local government or organization and should be completed following the applicant briefing and kick-off meeting.
 1. Provide an analysis of the Disaster Recovery Assessment. The analysis should include information on the following:
 - (a) Gaps in capabilities and/or resources
 - (b) Plans for addressing any identified gaps
 - (c) Identification of High Risk sub-grantee and information on any sanctions placed as a result of being classified "High Risk" to include details on how to reverse the High Risk classification

IV. ORGANIZATIONAL STRUCTURE

- A. When disasters and emergencies occur, the magnitude of the work can be overwhelming. Often the work is different than the work you usually accomplish, and as the sub-grantee, you have specific roles and responsibilities to ensure compliance with the programmatic requirements of the Public Assistance program.

Effective and efficient recovery of a disaster may overwhelm existing resources and capabilities. Careful planning of internal roles and responsibilities will aid in limiting the effects the disaster has on your ability to recover in a timely manner.

- B. Of primary importance is who will coordinate the recovery process and oversee compliance with the various roles, responsibilities, and program requirements. The designated lead will vary depending on local traditions, local government structure, and other factors that may influence this decision.

The real issue is not so much who is put in the lead role but whether that person has the authority to guide, direct, and compel others to achieve disaster recovery plans. A clear choice of leadership for managing recovery and reconstruction also provides a central point of contact, information, and accountability for the State.

TEMPLATE FOR A POST-DECLARATION SUB-GRANTEE RECOVERY PLAN

- C. Identify who within your community or organization will be included in your organizational structure for recovery efforts.
1. Primary point of contact –
 2. Project/Construction Management –
 - (a) NOTE: Project management is the oversight of an eligible project from the recovery planning phase to completion of projects and include activities such as:
 - (i) Direct management of projects
 - (ii) Oversee procurement/contract activities required to complete recovery work
 - (iii) Management of construction work completed by othersConstruction Management is the oversight of the work necessary to complete each project. Project Managers oversee the entire project from design to project completion, while construction management oversees simply the construction of the facility according to the designs.
 3. Finance/Grant Administration –

V. PROJECT CONSTRUCTION SCHEDULE

- A. Effective disaster recovery is directly related to having a well thought out and planned execution for completing each disaster project. This must include key milestones, goals, and objectives to help measure success.
- B. On a project by project basis, provide specific details regarding your plans for executing the work. This should include key dates for major milestones, to include completing the project.

Procurement Method Report

Attach to the Applicable Invoice

This report may be used to summarize methodology of procurement in lieu of writing a statement on the narrative report. All forms mentioned are available at <http://ready.alaska.gov/grants.htm>. Sub-grantee must check the federally barred/suspended vendors at System for Award Management (previously called Excluded Parties List System) at www.sam.gov prior to execution of any procurement or contract.

Check appropriate boxes below

- Checked System for Award Management (SAM) for barred/suspension
(Print page and attach)

Sole Source and Single Vendor Response to a Competitive Bid

All sole source procurements and single vendor response to a competitive bid require the Alaska Division of Homeland Security and Emergency Management (DHS&EM) pre-approval and use of the Sole Source Checklist. DHS&EM's sole source approval documentation will be maintained in both the jurisdictional and DHS&EM grant files. There is no requirement to submit DHS&EM a copy of this pre-approval with the reimbursement request.

Procurements

- \$0-\$5,000 – Self-assurance and adequate competition must be documented for jurisdiction's grant files. There is no requirement to provide DHS&EM with this documentation. Negotiated Abstract is provided as a method of documentation, any method of documentation may be used.
- Verbal or Written quotes from at least three vendors
- | | |
|------------------------|-----------|
| 1. Vendor's Name _____ | Bid _____ |
| 2. Vendor's Name _____ | Bid _____ |
| 3. Vendor's Name _____ | Bid _____ |
- \$5,000-\$25,000 – Certification Statement required for reimbursement (for each procurement)
- Verbal or Written quotes from at least three vendors
- | | |
|------------------------|-----------|
| 1. Vendor's Name _____ | Bid _____ |
| 2. Vendor's Name _____ | Bid _____ |
| 3. Vendor's Name _____ | Bid _____ |
- \$25,000-\$50,000 – Summary (Items required for each procurement)
- Written quotes from at least three vendors
- | | |
|------------------------|-----------|
| 1. Vendor's Name _____ | Bid _____ |
| 2. Vendor's Name _____ | Bid _____ |

3. Vendor's Name _____ Bid _____

4. Applicable Policy _____
(Jurisdictional Statute, State's Procurement Statute, etc.)

5. Provide a description of the vendor award/selection criteria

6. Why was the vendor chosen

Sourcing from a General Services approved vendor lists

1. Applicable Government Contract _____

2. Vendors Name _____

\$50,000 or Greater (Attach the following items for reimbursement)

Invitation to Bid or Request for Proposal documents

Published advertisement and/or solicitations

List all submitted proposals/vendor and the bid amounts

Vendor award/selection criteria

Justification statement as to why vendor was chosen

Contract award/Change Orders/Revisions/Amendments/etc.

\$100,000 or Greater – All steps in the procurement process require DHS&EM's pre-approval. DHS&EM's approval documentation will be maintained in both the jurisdictional and DHS&EM grant files. There is no requirement to submit DHS&EM copies of pre-approvals with the reimbursement request.

I certify the above information is true and accurate and documentation related to this procurement is on file and available upon request.

Project Manager's Signature

Date

Printed Name and Title

This report may be used to summarize the methodology of procurement in lieu of writing a statement on the narrative report

DEPARTMENT OF HOMELAND SECURITY
 FEDERAL EMERGENCY MANAGEMENT AGENCY
REQUEST FOR PUBLIC ASSISTANCE

O.M.B. NO. 1660-0017
Expires April 30, 2013

PAPERWORK BURDEN DISCLOSURE NOTICE

Public reporting burden for this form is estimated to average 10 minutes. Burden means the time, effort and financial resources expended by persons to generate, maintain, disclose, or to provide information to us. You may send comments regarding the burden estimate or any aspect of the collection, including suggestions for reducing the burden to: Information Collections Management, Department of Homeland Security, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, Paperwork Reduction Project (OMB Control Number 1660-0017). You are not required to respond to this collection of information unless it displays a valid OMB number. **NOTE: Do not send your completed questionnaire to this address.**

APPLICANT (Political subdivision or eligible applicant)	DATE SUBMITTED
---	----------------

COUNTY (Location of Damages. If located in multiple counties, please indicate)	DUNS NUMBER
--	-------------

APPLICANT PHYSICAL LOCATION

STREET ADDRESS

CITY	COUNTY	STATE	ZIP CODE
------	--------	-------	----------

MAILING ADDRESS (If different from Physical Location)

STREET ADDRESS

POST OFFICE BOX	CITY	STATE	ZIP CODE
-----------------	------	-------	----------

Primary Contact/Applicant's Authorized Agent

Alternate Contact

NAME	NAME
TITLE	TITLE
BUSINESS PHONE	BUSINESS PHONE
FAX NUMBER	FAX NUMBER
HOME PHONE (Optional)	HOME PHONE (Optional)
CELL PHONE	CELL PHONE
E-MAIL ADDRESS	E-MAIL ADDRESS
PAGER & PIN NUMBER	PAGER & PIN NUMBER

Did you participate in the Federal/State Preliminary Damage Assessment (PDA)? YES NO

Private Non-Profit Organization? YES NO

If yes, which of the facilities identified below best describe your organization? _____

Title 44 CFR, part 206.221(e) defines an eligible private non-profit facility as: "... any private non-profit educational, utility, emergency, medical or custodial care facility, including a facility for the aged or disabled, and other facility providing essential governmental type services to the general public, and such facilities on Indian reservations." Other essential governmental service facility means museums, zoos, community centers, libraries, homeless shelters, senior citizen centers, rehabilitation facilities, shelter workshops and facilities which provide health and safety services of a governmental nature. All such facilities must be open to the general public."

Private Non-Profit Organizations must attach copies of their Tax Exemption Certificate and Organization Charter or By-Laws. If your organization is a school or educational facility, please attach information on accreditation or certification.

OFFICIAL USE ONLY: FEMA -	-DR-	-	FIPS#	DATE RECEIVED
---------------------------	------	---	-------	---------------

PNP RPA FORM

Name of Private Non-Profit (PNP) organization			
Does the PNP have damages at more than one facility?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
PNP Organization			
Is the subgrantee eligible?		<input type="checkbox"/> YES	<input type="checkbox"/> NO <input type="checkbox"/> Unsure
* Types of critical facilities:		<input type="checkbox"/> All Critical Facilities	<input type="checkbox"/> Some Critical Facilities
		<input type="checkbox"/> No Critical Facilities	<input type="checkbox"/> Unknown
* PNP type: [Select all that apply]		<input type="checkbox"/> Community Center	<input type="checkbox"/> Custodial Care Facility
		<input type="checkbox"/> Educational	<input type="checkbox"/> Emergency Care Facility
		<input type="checkbox"/> Homeless Shelter	<input type="checkbox"/> Library
		<input type="checkbox"/> Medical Care Facility	<input type="checkbox"/> Museum
		<input type="checkbox"/> Rehabilitation Facility	<input type="checkbox"/> Senior Citizen Center
		<input type="checkbox"/> Shelter Workshop	<input type="checkbox"/> Utility
		<input type="checkbox"/> Zoo	<input type="checkbox"/> Other Non-Profit
* If Other, please specify:			
Documents Attached			
* Do you have the tax exemption certificate attached?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
* Is the organization's Charter/By Laws attached?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
* Do you have current literature describing the organization attached?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
* Do you have accreditation or certification attached?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
* Is the curriculum attached?		<input type="checkbox"/> YES	<input type="checkbox"/> NO
Notes			
Printed Name:		Signature:	
Title:		Date:	

FEDERAL EMERGENCY MANAGEMENT AGENCY

PRIVATE NON-PROFIT FACILITY QUESTIONNAIRE

APPLICANT	PW REF NO.
Private Non-Profit Facility Questions	
* Name of the damaged facility:	
* State the facility status:	<input type="checkbox"/> Entire Facility Is Critical <input type="checkbox"/> Mixed - Portions of Facility are Critical <input type="checkbox"/> No Part Facility Is Critical <input type="checkbox"/> Unknown
Facility Street Address, City, State, Zip	
* Was the facility in use at the time of the disaster?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* Was the facility damaged due to disaster?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* Are repairs the legal responsibility of the PNP?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* Please explain the primary purpose of damaged facility: (4000 characters maximum)	
* Please explain the type of assistance requested: (4000 characters maximum)	
* Who may use this facility?	
* Contact First Name:	
* Contact Middle Initial:	
* Contact Last Name:	
* Contact Phone:	
* Is there a fee charged for the use of the facility?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* If "Yes", what is the cost of the fee? (enter dollar amount only)	
* Do you own the facility?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* If "Yes", do you have proof of ownership attached?	
* Do you lease the facility?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* If "Yes", do you have the lease agreement attached?	
* Do you rent the facility?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* If "Yes", do you have the rental agreement attached?	
* Is the facility insured?	<input type="checkbox"/> Yes <input type="checkbox"/> No
* If "Yes", is the insurance policy attached?	
Enter additional information or comments below: (Note if repairs are the legal responsibility)	

APPENDIX 4

SAMPLE GRANT AWARD PACKAGE

On-behalf-of Sub-grantee for Vendor Payment

Sub-grantee:

Request Date:

Disaster Number: DR-

Project Worksheet Number:

The _____ hereby authorizes the Division of Homeland Security and Emergency Management to make direct payment to the following vendor(s) on its behalf:

Vendor	Invoice Number	Amount
		\$

The _____ certifies that all goods and services have been provided in accordance with the project scope of work, and that any portion of invoice and/or costs deemed ineligible under the project scope of work will remain the responsibility of the applicant for payment.

Signed: _____
(Chief Financial Officer or Authorizing Official)

MAIL CHECK TO:	DEPOSIT CHECK FOR APPLICANT:
	BANK NAME: _____
	ACCOUNT #:

Note: Applicant must attach the original invoice before direct vendor payment can be made. If original invoice cannot be submitted, an invoice certified as an original copy by the vendor can suffice. All direct payments will be considered reimbursement to project worksheet amount, not to exceed 75% of total project funding, unless 75% waiver is requested and approved.

Date

Primary Contact

Title

Community

Address

City, State, Zip

Re: Award Letter
Disaster Name, PW XXXX

Certified Mail #:

Dear Name:

Enclosed are copies of approved Project Worksheet (PW) s for the Disaster. The processes and deadlines outlined in this letter may directly affect project funds.

This PW is obligated; funds are available to reimburse eligible costs. As a sub-grantee, you are only entitled to costs that are eligible. The work associated with project worksheet(s) #XX was 100% complete when the PW was written. You have 90 days from receipt of this letter to submit all cost documentation for final payment and project close out.

All eligible work must conform to the scope of work as specified in PW XXXX. Do not assume all costs or changes will be allowed at project completion. Any change request must contain justification for the eligibility of additional costs or work.

All Emergency Work Project Worksheets (Category A and Category B, "Emergency Work") must be complete 6 months from the date of the disaster declaration. All Permanent Work Project Worksheets (Categories C-G, "Permanent Work") must be complete 18 months from the date of the disaster declaration. If more time is required contact your DHS&EM representative before the associated deadline to request a time extension. Ample justification is required for approval of any time extension request.

Please carefully review the Damage Description and Dimensions, Scope of Work and Cost Estimate. If you do not agree with the Project Worksheet as written or determinations regarding project eligibility, scope of work, time limits, funding, or other determinations an appeal process is available. This process requires written correspondence identifying the action under appeal with an appropriate justification within 60 days of receipt of this letter. Please attach related documentation supporting the appeal to your request. Address the appeal to:

Dear Name
Date
Page 2 of 2

Mr. John W. Madden, Director
Division of Homeland Security &
Emergency Management
P.O. Box 5750
Ft. Richardson, Alaska 99505

Failure to follow these guidelines will jeopardize project funds and may impact future disaster assistance. Additional PWs pending approval will be transmitted in future correspondence. Please review all PWs and ask DHS&EM about pending PWs to ensure all damaged sites or facilities are identified in a PW.

If you need additional information or clarification, please contact me, your assigned DHS&EM representative, at 1-907-428-XXXX or 1-800-478-2337 or by email at SPAO.

Sincerely,

SPAO
State Public Assistance Officer

xxx:xxx

Enclosure(s): Project Worksheet(s)
P.4 Report – Project Completion and Certification Report

CC:

Date

Primary Contact

Title

Community

Address

City, State, Zip

Re: Award Letter
Disaster Name, PW XXXX

Certified Mail #:

Dear Name:

Enclosed are copies of approved Project Worksheet (PW) s for the Disaster. The processes and deadlines outlined in this letter may directly affect project funds.

This PW is obligated; funds are available to reimburse eligible costs. As a sub-grantee, you are only entitled to costs that are eligible. All eligible work must conform to the scope of work as specified in PW XXXX. Do not assume all costs or changes will be allowed at project completion. Any change request must contain justification for the eligibility of additional costs or work.

All Emergency Work Project Worksheets (Category A and B, "Emergency Work") must be complete 6 months from the date of the disaster declaration. All Permanent Work Project Worksheets (Categories C-G, "Permanent Work") must be complete 18 months from the date of the disaster declaration. If more time is required contact your DHS&EM representative before the associated deadline to request a time extension. Ample justification is required for approval of any time extension request.

Please carefully review the Damage Description and Dimensions, Scope of Work and Cost Estimate. If you do not agree with the Project Worksheet as written or determinations regarding project eligibility, scope of work, time limits, funding, or other determinations an appeal process is available. This process requires written correspondence identifying the action under appeal with an appropriate justification within 60 days of receipt of this letter. Please attach related documentation supporting the appeal to your request. Address the appeal to:

Dear Name
Date
Page 2 of 2

Mr. John W. Madden, Director
Division of Homeland Security &
Emergency Management
P.O. Box 5750
Ft. Richardson, Alaska 99505

Failure to follow these guidelines will jeopardize project funds and may impact future disaster assistance. Additional PWs pending approval will be transmitted in future correspondence. Please review all PWs and ask DHS&EM about pending PWs to ensure all damaged sites or facilities are identified in a PW.

If you need additional information or clarification, please contact me, your assigned DHS&EM representative, at 1-907-428-XXXX or 1-800-478-2337 or by email at SPAO.

Sincerely,

SPAO
State Public Assistance Officer

xxx:xxx

Enclosure(s): Project Worksheet(s)
P.4 Report – Project Completion and Certification Report

CC:

PROJECT FINAL NARRATIVE REPORT

Division of Homeland Security and Emergency Management

This form is required to be submitted when a project has been completed in full. A separate form must be submitted for each project. If you have any questions, please contact the Division of Homeland Security & Emergency Management (DHS&EM) at 800-478-2337 or 907-428-7000. This form can be faxed to DHS&EM at 907-428-7009.

Applicant Name:		Telephone Number:
Project Coordinator / Representative:		Fax Number:
Disaster Number:	Project Number:	Today's Date:

Brief Description of Project/Scope of Work:

Key dates and activities accomplished; (for example, date project was started, all major task completions, significant delays and any additional pertinent information.)

Total Funds awarded for project:	\$ -
Total funds expended to date:	\$ -
Total Administrative Funds expended to date:	\$ -
Do you have a cost overrun?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, by how much money?	\$ -
Will you be requesting reimbursement for your cost overrun?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Date project was completed:	

Explanation of cost overruns and cost underruns as reported on the Statement of Documentation, DHS&EM Form 30-4

REQUEST FOR FUNDS FORM
DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

*Fill out a separate form for each project. Maximum allowed advance per request is 30% of approved project amount

<input type="checkbox"/> Public Assistance	<input type="checkbox"/> Hazard Mitigation Grant Program	<input type="checkbox"/> Other:	
<input type="checkbox"/> Request For Advance	<input type="checkbox"/> Request For Reimbursement	<input type="checkbox"/> Request For Partial Payment	<input type="checkbox"/> Request For Final Payment
APPLICANT INFORMATION			
PROJECT NAME:		PROJECT NUMBER:	
APPLICANT NAME:			
STREET:			
CITY/ZIP:			
APPROVED PROJECT AMOUNT:			
TOTAL AMOUNT OF PRIOR PAYMENTS:			
AMOUNT THIS REQUEST: (Max advance 30% each request. Total allowable: 75% of total approved project amount)			
MAIL CHECK TO:		DEPOSIT CHECK FOR APPLICANT:	
		BANK NAME:	
		ACCOUNT #:	
THE APPLICANT AGREES:			
<ol style="list-style-type: none"> 1. That the funds will be placed in a special and separate account. 2. That the funds will be expended within 30 days of receipt. <i>(Applies to Advances Only)</i> 3. That the funds will be used only for approved actual eligible expenditures. 4. That any funds received, which are in excess of the approved actual expenditures, will be promptly refunded to the State upon completion of the project. 5. Any interest earned while these funds are on deposit will be promptly refunded to the state. 6. No additional funds will be provided until the applicant provides financial documents to DHS&EM verifying expenditures for any prior funds issued. 7. Reports on funds that are classified as advances or payment of federal share for small projects are required on a quarterly basis detailing their status. This requirement is mandatory even if no expenditures have occurred. 			
DATE:		TITLE:	
SIGNATURE:			
FOR DHS&EM USE ONLY			
APPROVED: <input type="checkbox"/>	DISAPPROVED: <input type="checkbox"/>	AMOUNT: \$	
COMMENTS:			
DATE:		TITLE:	
SIGNATURE:			

STATE OF ALASKA
Department of Military and Veterans Affairs
DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT
STATEMENT OF DOCUMENTATION TO SUPPORT AMOUNT CLAIMED FOR FINANCIAL DISASTER ASSISTANCE

Applicant (State Agency, County, City District, Native Organization):	Disaster Number:	State Application Number:
	Project Worksheet (PW) Number:	Category of Work:

Brief Description of Damaged Facility or Protective Measures:

	Approved PW Amount as listed in the Cost Est. of the obligated PW	Reported Costs Incurred on the Project by the Applicant
Force Account (In-house) Labor	\$ -	\$ -
Temporary Hire Labor	\$ -	\$ -
Materials	\$ -	\$ -
Force Account Equipment	\$ -	\$ -
Rental Equipment	\$ -	\$ -
Contract	\$ -	\$ -
Miscellaneous	\$ -	\$ -
Mitigation	\$ -	\$ -
Direct Administrative	\$ -	\$ -
Supplies	\$ -	\$ -
	\$ -	\$ -
Insurance/Revenues	\$ -	\$ -
Total:	\$ -	\$ -
Administrative Allowance	\$ -	\$ -

I CERTIFY:

- That all expenditures listed below are correct and cover only services performed or material used exclusively in disaster relief operations as authorized in the approved Project Worksheet.
- That to the best of my knowledge and belief, all work and costs are eligible in accordance with the grant conditions, all work claimed has been completed, and all costs have been paid in full.
- That salaries, wages and overtime payments claimed are in accordance with the applicant's policy as established prior to the disaster.
- That all work authorized in the approved Project Worksheet was completed and all essential services resumed within the time limit set forth in the approved Project Worksheet.

Signature of Applicant's Authorized Representative	Date:	Title:
--	-------	--------

For internal use by the Division of Homeland Security & Emergency Management

Public Assistance Reviewer - Signature	Date:	Approved PW Amount:
--	-------	---------------------

PROJECT QUARTERLY REPORT

Division of Homeland Security and Emergency Management

This form is required to be submitted on a quarterly basis for each project. If you have any questions, please contact the Division of Homeland Security & Emergency Management (DHS&EM) at 800-478-2337 or 907-428-7000. This form can be faxed to DHS&EM at 907-428-7009. Failure to send in the report on time can result in losing funding for projects.

Identify the performance period for this report: (a separate form is required for each Quarterly Report)

- April 1 to June 30 (report due to DHS&EM by July 15)
- July 1 to September 30 (report due to DHS&EM by October 15)
- October 1 to December 31 (report due to DHS&EM by January 15)
- January 1 to March 31 (report due to DHS&EM by April 15)

Applicant Name:		Telephone Number:
Project Coordinator / Representative:		Fax Number:
Disaster Number:	Project Number and Project Category (A-G):	Today's Date:

Key dates and activities accomplished this quarterly report period; (for example, what major tasks were completed?)

Expected delays or identified problems; (for example, need to change the scope of work outlined in the PW, weather issues, etc. Include as much detail as possible. Include any information about circumstances that could delay the estimated project completion date or result in an unexpected cost overrun.)

Total Funds awarded for project:	\$ -
Total funds expended to date:	\$ -
Total Administrative Funds expended to date:	\$ -
Estimated additional funds required to complete project:	\$ -
Do you plan on exceeding the approved Project Worksheet amount? (* See Note 1)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, by how much money?	
Will you be requesting reimbursement for your cost overrun?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will the project be completed as written in the Scope of Work? If No, a request to change the PW or an improved/alternate project must be submitted to DHS&EM.	<input type="checkbox"/> Yes <input type="checkbox"/> No
How complete, "by percentage" is the project?	%
Total amount of advanced funds this quarter:	\$ -
Are all advanced funds liquidated? (If not completely liquidated, please explain above):	<input type="checkbox"/> Yes <input type="checkbox"/> No
What is the expected completion date of project:	

* Note 1: The subgrantee will submit projected cost overruns, with complete justification, to the GAR for approval immediately upon realizing the expected overrun. If approved, the GAR will subsequently submit projected cost overruns of the approved grant amount, with complete justification, to the FEMA Region Director for approval.

MATERIAL SUMMARY SHEET

PAGE _____ OF _____

PROJECT NO. _____

DISASTER _____

PA ID NO. _____

CATEGORY _____

PERIOD COVERING
TO

DESCRIPTION OF WORK PERFORMED

Vendor	Description	Materials Used For	Date Purchased	Date Used	Info From (Check One)		Qty	Unit Price	Cost	DHS&EM use only (Final costs after audit)
					Invoice	Stock				
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
		<input type="checkbox"/> Project <input type="checkbox"/> Administrative						\$ -	\$ -	
MATERIALS FOR ADMINISTRATIVE USE										
MATERIALS FOR PROJECT USE										
MATERIALS TOTAL										
									\$ -	
									\$ -	
									\$ -	

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

Certifier's Printed Name and Title	Date
Certifier's Signature	Date

FORCE ACCOUNT EQUIPMENT SUMMARY RECORD

PAGE _____ OF _____

APPLICANT	PROJECT NO.	DISASTER	PERIOD COVERING
LOCATION/SITE	CATEGORY	01/00/00	TO 1/0/1900

DESCRIPTION OF WORK PERFORMED

Type of Equipment Indicate Size, Capacity, Horsepower, Make And Model As Appropriate	Equipment Code Number	Operator's Name	Equipment Used For	Dates and Hours Used Each Day							Costs			
				Date	Hours	Equipment Rate	Cost							
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	
			<input type="checkbox"/> Project <input type="checkbox"/> Administrative	Hours	0.00							\$ -	\$ -	

FORCE ACCOUNT EQUIPMENT FOR ADMINISTRATIVE USE	→	\$ -
FORCE ACCOUNT EQUIPMENT FOR PROJECT USE	→	\$ -
FORCE ACCOUNT EQUIPMENT TOTAL	→	\$ -

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

Certifier's Printed Name and Title _____ _____ _____	Date _____
---	---------------

Division of Homeland Security and Emergency Management
 APPLICANT'S BENEFITS CALCULATION WORKSHEET

1. APPLICANT

2. FIPS # or TAX ID#

3. DISASTER NAME / NUMBER

4. PW #

FRINGE BENEFITS (by %)	REGULAR TIME	OVERTIME
HOLIDAYS		
VACATION LEAVE		
SICK LEAVE		
SOCIAL SECURITY		
MEDICARE		
UNEMPLOYMENT		
WORKERS COMP		
RETIREMENT		
HEALTH INSURANCE		
LIFE INSURANCE BENEFITS		
OTHER		
TOTAL in % of annual salary	0.000%	0.000%

COMMENTS

I CERTIFY THAT THE INFORMATION ABOVE WAS TRANSCRIBED FROM PAYROLL RECORDS OR OTHER DOCUMENTS WHICH ARE AVAILABLE FOR AUDIT.

CERTIFIED BY

TITLE

DATE

Federal Emergency Management Agency Project Completion and Certification Report (P.4) Disaster: FEMA- DR-AK												
Applicant FIPS ID: Applicant/Subdivision Name:												
PW #	Amendment #	Approved Prof. Amt.	Cost Share %	Ca	Bandl	Work Done By	Projected Compl. Date	% Compl. at Insp.	ELs Amount	Actual Date Completed	Amt. Claimed by Applicant	Comments
-	0		N	A					\$		\$	
Total for 1 PWs:		\$									\$	
Subgrantee Admin:		\$0.00										
Grand Total:		\$										

Certification

I hereby certify that to the best of my knowledge and belief all work and costs claimed are eligible in accordance with the grant conditions, all work claimed has been completed, and all costs claimed have been paid in full.

I certify that all funds were expended in accordance with the provisions of the signed FEMA-State Agreement and I recommend an approved amount of \$ _____

Signed: _____ Date: _____

Applicant's Authorized Representative _____ Governor's Authorized Representative

APPENDIX 5
CHECKLISTS

PAYMENT REQUEST CHECKLIST

DISASTER NUMBER AND NAME: _____ PW # _____

APPLICANT'S NAME: _____

Signed Grant Agreement Package (Must be filed before any payment is made)

- Request for Public Assistance (All Applicants)
- Designation of Applicant's Agent (DHS&EM Form 30-5) – (All Applicants)
- Assurances and Agreements (DHS&EM Form 30-58) – (All Non-State Applicants)
- Waiver of Sovereign Immunity (DHS&EM Form 30-62), (Tribal Applicants)
- Summary of Grant Conditions (DHS&EM Form 30-59) – (All Applicants)
- Memorandum of Agreement (DHS&EM 30-61) – (State Applicants)
- Indemnity and Hold Harmless Agreement (DHS&EM Form 30-81) (Debris Removal Only)
- Log the payment request into Payment Tracking Sheet and update as necessary
- Review documents to ensure work/costs being claimed by the applicant were performed during the approved performance period
- Quarterly Reports are up to date.
- Outstanding advances are liquidated as part of this payment
- High Risk Applicant Assessment has been completed or revised as necessary and any sanctions associated with payments are followed
- Request for Funds form. Attach copy, not required for RSA's, or Direct Vendor Payments
- Develop DAS Payment Memorandum with comments for routing
- Does the PW have insurance requirements included in the Project Worksheet? If so, ensure the insurance requirements outlined on pages 119-123 of the PA Guide are followed

Advance Payments (Large Projects) and Initial Incentive Payments (Small Projects)

- Is the applicant High-Risk?
- Is the amount being requested equal to or less than 25% of the project estimate?
- Is the amount being requested going to exceed 75% of the project estimate?
- Page 2 of the Request for Funds Form is completely filled out by applicant
- Review and sign Payment Request Form. Provide comments detailing review to ensure amount requested can be utilized within 30-day requirement for advances.

On Behalf Of Payment (Applies to Vendors and Contractors Only)

- Signed OBO form from the applicant (Must be by an authorized agent)
- Original Invoice or a certified copy; certified by the vendor (Vendor Only)
- Is the amount being requested going to exceed 75% of the project estimate? DVP's that exceed 75% will require completion and submittal of Waiver of the 75% with payment request.
- Is the work/service/costs reasonable and necessary to complete the scope of work in the PW?
- Contract Scope of Work does not exceed PW Scope of Work (Follow requirements for Improved Projects, if applicable)
- For Payment by Check – Is the name, address, and phone number of the vendor provided
- For Direct Deposit – Is the bank name, account and routing number provided

Reimbursement (Large Project) and RSA's

- Is the amount being requested going to exceed 75% of the project estimate? Reimbursements that exceed 75% will require completion and submittal of Waiver of the 75% with payment request.
- Are Summary forms provided, signed, and is the work required per the PW?
- Eligibility requirements for all submitted costs follows policies outlined on pages 40-65 of the PA Guide
- Review and sign Payment Request Form (Not required for RSA's)

Final Payment (Small Project)

- Ensure most current P-4 with accurate anticipated completion date listed. If actual completion date exceeds the listed anticipated completion date, ensure the time extension approval is included in final payment package.
- Statement of Documentation
- Project Final Narrative
- Review and sign Payment Request Form
- Certificate of Completion/Compliance Form
- Final Inspection Report with photographs of completed work (Submitted from Applicant or captured during on site inspections. Photographs will not be required for Category B PW's or PW's that were 100% complete when the project was written)
- If Final Payment is for Applicants last project worksheet, and disaster is prior to DR-1796, ensure administrative costs final payments are submitted on a separate DAS Payment Memorandum at the same time. Payment must be for the amount claimed by the applicant or the total identified by all P-4's, whichever is less.

Final Payment (Large Project) and RSA's

- Ensure most current P-4 with accurate anticipated completion date listed. If actual completion date exceeds the listed anticipated completion date, ensure the time extension approval is included in final payment package.
- Are Summary forms provided, signed, and is the work required per the PW?
- Eligibility requirements for all submitted costs follows policies outlined on pages 40-65 of the PA Guide
- Statement of Documentation
- Project Final Narrative
- Review and sign Payment Request Form(Not required for RSA's)
- Certificate of Completion/Compliance Form
- Final Inspection Report with photographs of completed work Photographs will not be required for Category B PW's or PW's that were 100% complete when the project was written)
- If Final Payment is for Applicants last project worksheet, and disaster is prior to DR-1796, ensure administrative costs final payments are submitted on a separate DAS Payment Memorandum at the same time. Payment must be for the amount claimed by the applicant or the total identified by all P-4's, whichever is less.

Routing and Review

SPAO Signature: _____ Date: _____

Branch Chief Signature: _____ Date: _____

DA PM Signature: _____ Date: _____

Alternate Project Request Checklist

Disaster: _____

Applicant: _____

PW: _____

Category _____

Today's Date: _____

Applicant Type (Circle One) Tribal State City PNP

Note: (PNPs are limited to 75% of the Federal Share. All others are limited to 90%, FEMA 322, pg 112)

Instructions: Please enter either Y, N or N/A in the boxes and provide explanation if necessary.

Are quarterly reports current?

Was applicant notified not to begin work without prior FEMA approval?

How was applicant notified? (Circle One) **Letter** **Email** **(Attach copy to this request)**

Alternate request letter from authorized Applicant's Agent?

Outstanding Advances?

Does the Applicant's request include:

Complete description of proposed work? (Dimensions, location, purpose and community benefit.)

Cost Estimate?

Method to accomplish work, ie; Force Account, Contract or a combination?

Schedule to complete work? (Normal PW time limits remain in effect)

Maps, drawings or pictures? (Attach to this request)

FEMA Request Date: _____

FEMA Approval Date: _____

Date Award Letter sent to applicant: _____

Note: Funds cannot be used for operating costs and may require an environmental review by FEMA. The proposal must include a description of the project, including the project location, an estimate of costs, a schedule of work, including a starting date for work, and a targeted completion date, and the necessary assurances to document compliance with special requirements, including, but not limited to floodplain management, environmental review, hazard mitigation, protection of wetlands, and insurance. 44 CFR 206.203(d)(2)(v). Historic and any other legal considerations should also be identified. The applicant should identify the source of funding for projects when the cost estimate for the alternate project is greater than the eligible alternate project funding.

Analysis by SPAO:

CHANGE IN SCOPE OF WORK CHECKLIST

Disaster Name and #: _____

Applicant Name: _____

PW #: _____

Today's Date: _____

Date Applicant made Request: _____

- Quarterly Reports up-to-date

- Outstanding Advances

- Does the request contain a detailed justification for the eligibility of the additional work?

- Perform scope analysis for need of FEMA site visit. (cost, footprint, complexity must be considered and may require FEMA site visit to expedite decision)

- Was the request submitted prior to the work being started/completed? If not, explain what prevented submission

- Is additional work necessary to repair damages that are a direct result of the declared disaster?

- Is the change in scope due to newly identified damages identified and reported to the State/FEMA within 60-days of Kick-Off Meeting? If not, explain delay

- Will the additional work require further environmental review by FEMA?

- Are additional funds required? If so how much _____

- Does request include an updated timeline for completion?

- Will they require a time extension?

Details on analysis by SPAO:

Over Run Checklist for Large Projects

Disaster: _____

Applicant: _____

PW: _____

Category _____

Today's Date: _____

Applicant Type (Circle One)

Tribal

State

City

PNP

Instructions: Please enter either Y, N or N/A in the boxes and provide explanation if necessary.

Are quarterly reports current?

Will a time extension be required?

Outstanding Advances?

Does the request contain a detailed justification for the eligibility of the additional costs?

Will the reason for the over-run require additional environmental reviews?

Are the additional costs disaster related?

Was the potential over-run identified and reported prior to the additional costs being incurred?
(If not, please enter a detailed explanation in your analysis below.)

Analysis by SPAO:

Over Run Checklist for Small Projects

Disaster: _____ Applicant: _____

PW: _____ Category N/A Today's Date: _____

Date of Subgrantee's Request: _____

Date Subgrantee Completed Last Small Project: _____

(Appeal must be submitted within 60 days after completion of last Small Project)

Applicant Type (Circle One) Tribal State City PNP

Instructions: Please enter either Y, N or N/A in the boxes and provide explanation if necessary.

- Are quarterly reports current?
- Will a time extension be required?
- Outstanding Advances?
- Does the request contain a detailed justification for the eligibility of the additional costs?
- Will the reason for the over-run require additional environmental reviews?
- Are the additional costs disaster related?
- Were the potential over-run(s) identified and reported prior to the additional costs being incurred?
(If not, please enter a detailed explanation in your analysis below.)

Description of Work	PW #				
Labor	\$ -	\$ -	\$ -	\$ -	\$ -
Materials	\$ -	\$ -	\$ -	\$ -	\$ -
F. A. Equipment	\$ -	\$ -	\$ -	\$ -	\$ -
Rented Equipment	\$ -	\$ -	\$ -	\$ -	\$ -
Contract	\$ -	\$ -	\$ -	\$ -	\$ -
Miscellaneous	\$ -	\$ -	\$ -	\$ -	\$ -
Total (Actual Costs)	\$ -	\$ -	\$ -	\$ -	\$ -
Obligated Amount	\$ -	\$ -	\$ -	\$ -	\$ -
Cost Overrun/Underrun Amount	\$ -	\$ -	\$ -	\$ -	\$ -
Total Cost Overrun/Underrun Amount	\$ -	\$ -	\$ -	\$ -	\$ -

Analysis by SPAO:

DE-OBLIGATION/PROJECT CLOSE-OUT CHECKLIST
DISASTER NAME: _____

Applicant:
PW#:
Phone:
Fax:
Email:

Today's Date: _____

- 1st Letter requesting information, documentation, etc**
Date sent: _____
Deadline Date issued: _____

- 2nd Letter requesting information, documentation, etc**
Date sent: _____
Deadline Date issued: _____

- 3rd Letter informing applicant about de-obligation/project close-out**
Date sent: _____
Deadline Date issued: _____

- DCCED Contacted**
Date: _____
Name of Contact: _____

- Contact made with various other City/Tribal personnel**
Date: _____
Name of Contact: _____

<u>Date Sent</u>	<u>Method</u>	<u>Time (if called)</u>	<u>Details</u>

1.	<input type="checkbox"/>			
2.				
3.				
4.				
5.				

Faxes, e-mails, and phone calls made concerning de-obligation/project close-out

Review of financial impact de-ob/project close-out would have on community

Community visit warranted

Date of any previous community visits related to this issue:

De-obligation/Project Close-Out letter

Date sent: _____

Appeal Deadline Date: _____

Improved Project Request Checklist

Disaster: _____

Applicant: _____

PW: _____

Category _____

Today's Date: _____

Applicant Type (Circle One)

Tribal

State

City

PNP

Note: (Improved projects can only be requested for permanent work PWs, FEMA 322, pg 110)

Instructions: Please enter either Y, N or N/A in the boxes and provide explanation if necessary.

Can the costs for the improvement be separated from the costs for the original repair?

Was applicant notified not to begin work without prior State approval?

How was applicant notified? (Circle One) **Letter** **Email** **(Attach copy to this request)**

Are quarterly reports current?

Outstanding Advances?

Does the improved project have the same function and capacity of the original project?

Note: (Improved projects must have the same function and at least the same capacity as that of the pre-disaster facility.)

Is there a 406 Hazardous Mitigation proposal associated with this improvement?

Note: (406 Hazard Mitigation Funds cannot be applied if the improvement involves a new facility.)

Does the Applicant's request include:

Complete description of proposed work? (Dimensions, location, purpose and community benefit.)

Cost Estimate?

Method to accomplish work, ie; Force Account, Contract or a combination?

Schedule to complete work? (Normal PW time limits remain in effect)

Maps, drawings or pictures? (Attach to this request)

FEMA Request Date: _____

FEMA Approval Date: _____

Date Award Letter sent to applicant: _____

Analysis by SPAO:

TIME EXTENSION REQUEST CHECKLIST

Disaster: _____

Applicant: _____

PW: _____

Today's Date: _____

Category of Work: _____

Current Completion Deadline: _____

Instructions: Please enter either Y, N or N/A in the boxes and provide explanation if necessary.

Are quarterly reports current? (Attach last four reports)

Is the applicant's time ext request attached?

Does the Applicant's Time Extension Request Contain:

PW Number

Dates and provisions of any previous extensions granted (List dates below)

Does the justification address:

Did this project(s) receive an Initial Incentive Payment
Date Funding was Received: _____

Circumstances beyond the applicant's control and/or

Other extenuating circumstances that affect project on time completion and

An explanation of the impact on the project based on circumstances

Does the request contain a projected completion date

Does the extension fall within the Disaster Performance Period

Does the State have authority to approve or deny the extension request

Was the current request made prior to the existing deadline? (If not, the request must be supported with a detailed explanation of why the request is beyond the prior deadline)

Are there any outstanding issues or compliance problems with this applicant which might effect this request. If so, please explain in your analysis and recommendation.

Did the applicant include a detailed construction timeline, outlining steps that will be taken during the requested extension timeframe to complete the work?

Does the SPAO recommend the time extension for approval?

TIME EXTENSION REQUEST CHECKLIST

Analysis by SPAO:

A large, empty rectangular box with a thin black border, occupying the majority of the page below the 'Analysis by SPAO:' label. It is intended for the user to provide their analysis.

CAPABILITY ASSESSMENT

APPLICANT	APPLICANT POC	Phone Number
Assessment Questions	Responses	Notes
Has the community/organization had prior experience with state/federal disaster Public Assistance program?		
Does the community/organization have professional staff, in sufficient numbers, capable of planning and implementing policies and plans related to recovery efforts and managing, overseeing, and reporting on grant projects?		
Does the community/organization have a time and attendance system that meets the requirements of the Public Assistance program?		
Does the community/organization have an existing record keeping/management system established that allows information to be easily retrieved, understood, and reported?		
Does the community/organization have a cash receipt system in place that records incoming funding, how it is received, and what it can be used for?		
Does the community/organization have operational internet/FAX equipment and connection? List email and FAX number.		
Does the community/organization have a cash disbursement system in place that records how funding was expended?		
Does the community/organization have a trained bookkeeper or is supported by an outside accounting firm?		
Does the community/organization have existing procurement/contract policies and procedures and have experience with developing RFP's?		
Does the community/organization have established equipment rates? If so, identify how rates were established in the Notes Section.		
Does the community/organization have established labor rates (Obtain a copy)?		
Does the community/organization keep maintenance records on infrastructure?		
Does the community/organization have insurance coverage on any event damaged infrastructure or equipment?		
If insurance is required as a condition of repair funds, does the community/organization have the ability to fund?		
Does the community/organization own or have access to operational heavy equipment (include list)?		
Does the community/organization have a sufficient labor force capable and available to complete the work outlined in each PW?		
Does the community/organization have access to materials necessary for the recovery effort (gravel, lumber etc.) If so at what cost?		
Does the community/organization have discretionary funds that allow for work to begin without outside funding?		

GENERAL

CAPABILITY ASSESSMENT

Assessment Questions	Responses	Notes
Is the community/organization supported by a planning, finance/admin, and/or utility departments?		
Are there any "seasonal" issues that may affect recovery efforts (access to labor, equipment/operators, etc)?		
Has the community/organization ever been deemed "High Risk"?		
Is the community supported by any outside entities or organizations (Tribal, NGO, etc)?		
Has the community participated on any current or recent Grant programs from other agencies?		
What is the normal method of material delivery (over-the-road, air, barge etc) and typical freight/lb cost?		
Does the community have any ongoing construction/Capitol Improvement projects?		

SPAO Analysis and Recommendation: